

Wastewater Construction

Permitting Process Project Manual



*With instructions for participating in the
Clean Water State Revolving Fund Program*



Iowa Department of Natural Resources
January 2008



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INTRODUCTION

Issuing wastewater construction permits is the responsibility of the Iowa Department of Natural Resources (DNR) under Iowa Administrative Code 567—Chapter 64. When a city or county decides to initiate a wastewater construction project, many parties become involved in the process, including:

- Consulting engineers;
- Councils of government and economic development organizations;
- Funding agencies, including the Iowa Finance Authority, DNR's financial partner for the Clean Water State Revolving Fund loan program;
- DNR field offices and water resources section;
- Consulting parties for environmental and historical reviews;
- Contractors; and
- Members of the public and other interested parties.

The wastewater construction permitting process was created to foster greater coordination, communication, and cooperation among all of the parties involved. A diverse team has worked together to create the process and procedures described in this manual. Using the manual and following the process will help eliminate delays, avoid problems, and enable the success of wastewater construction projects.

The construction permitting process applies to all projects.

Financing a project through programs such as Community Development Block Grants, the Clean Water State Revolving Fund (CWSRF), or Rural Development, can add other requirements. This manual discusses in detail the requirements of the CWSRF program and notes how the loan process interfaces with the construction permitting process. If other financing programs are used, the applicant should work with those program managers to determine additional requirements.

Whether or not a CWSRF construction loan is sought, planning and design (P&D) loans are available through the Iowa Finance Authority to cover the costs incurred for engineering work and fees related to project preparation and submittal. Interest rate for P&D loans is 0% for up to three years, and the P&D loan can be rolled into a CWSRF construction loan or may be repaid with other permanent financing. The planning and design costs must be directly related to the wastewater project.

This manual contains the information needed to progress through the wastewater construction permitting process, including flow charts, detailed descriptions of the steps in the process, and required forms and instructions. If at any time there are questions about the process, however, please feel free to contact the DNR Wastewater Engineering section.

The DNR's Commitment

When the construction permitting process is followed as described in this manual, the DNR commits to:

- Reviewing and approving facility plans within 4.5 months of submittal
- Issuing construction permits within 30 days of submittal of final permit application

Environmental Review Services and extended financing terms are now available to CWSRF applicants.

PROJECT PLANNING

The following section of the manual outlines the steps involved in project planning. A detailed description of each step in the process (decision points in the process are marked with a ♦) is provided, including footnotes that reference the state regulations behind each step. Also included in this manual are:

- A flow chart of the project planning phase (numbers in the flow chart correspond with the numbered steps in the process description); and
- Related exhibits.

Steps in the process that are associated with the Clean Water State Revolving Fund are italicized.

Step 1 owner hires AE. Once the Owner identifies a need for wastewater construction improvements, the Owner will contract with a consulting engineer (AE). In some cases, the need may have been identified by the DNR, which may either advise the Owner to initiate planning or require it through a compliance/enforcement action. An owner may also identify its need for study and voluntarily proceed into the planning process. The AE will investigate and evaluate the issues and make recommendations for needed improvements.¹

If the Owner is a municipal facility, they may choose at this point to apply for a planning and design (P&D) loan through the Clean Water State Revolving Fund (CWSRF).

Exhibit 1: Planning and Design Loan Fact Sheet

More information on hiring an engineering consultant can be found on the Consulting Engineers Council of Iowa web site at <http://www.iaengr.org/QBS.pdf>.

Step 2 AE contacts DNR. Once the AE has made arrangements with the Owner to begin planning, the AE needs to contact DNR engineering staff to arrange a Project Initiation Meeting.²

DNR Project Contact Coordinator: Terry Kirschenman (515-281-8885, e-mail terry.kirschenman@dnr.iowa.gov)

¹ Permits for wastewater improvement – reference state rule 567 IAC 64.2

² Project Initiation Meeting – reference state rule 567 IAC 92.7

Step 3 DNR assigns PM. The DNR, when contacted by the Owner's AE, will assign a DNR engineer as a project manager (PM). This PM will be the point of contact and will handle the state review of any resulting project.³

Step 4 PM schedules meeting. The PM will work with the Owner and AE to schedule a Project Initiation Meeting within 30 days of the initial contact. Other parties involved in the project will also be invited, including other DNR staff, organizations assisting in application preparation, and others as appropriate.

Step 5 PM sends monthly operating report (MOR) data to AE. The PM will research state files and NPDES monitoring databases to provide available facility flow and loading information to the AE.

Step 6 owner sends daily monitoring report (DMR) data to AE. The Owner should also provide available flow and loading data to the AE. This data may be more extensive than DNR records and may include operational data which may be valuable to the planning process.

Step 7 AE does data analysis. The AE, to begin the evaluation and facility planning process, will use the facility flow and loading information. The AE should review loading data prior to the Project Initiation Conference.

Step 8 PM sends meeting agenda. The PM will provide an agenda for the meeting to enable all the parties to prepare.

Exhibit 2: Sample Project Initiation Meeting Agenda

Step 9 PROJECT INITIATION MEETING

The Project Initiation Meeting is a major event. It is important to reach an understanding by all participants as to the scope of the facility planning, the goals of the project, and the state review and permitting requirements.

The Owner should be represented by its AE. The PM will arrange to have appropriate DNR staff attend, including enforcement/compliance (field office) staff and NPDES personnel.

³ DNR project review – reference state rule 567 IAC 64.2(9) and 92.7

The PM will review requirements, summarize procedures, and explain checklists, guidance, and applications as shown in this manual. The PM will seek agreement on the project schedule from planning through construction. Financing options will also be discussed, and contact information for using the CWSRF loan program will be provided.

The PM will collect contact names, phone and fax numbers, and e-mail addresses to enable future communications with all the parties. The PM will also provide minutes of the meeting for review by the participants.

Exhibit 3: Water Quality Based Permit Limits Form
Exhibit 4: Facility Planning Scope of Study Checklist
Exhibit 5: Environmental Review Services Checklist
Exhibit 8: Intended Use Plan Application
Exhibit 9: Preliminary Review of Facility Plan Checklist
Exhibits 10A, B, and C: Preliminary Plan and Specification Submittal Checklists
Exhibits 11A, B, and C: Design Schedules A, F, and G

Step 10 **AE submits design loading criteria and WLA request.** Following the Project Initiation Meeting, the AE will evaluate the information gathered and submit to the PM initial facility design information with a request for a WLA.

This is an important early step in the planning process since flows, loadings, and the location of the plant outfall are critical to determining the effluent limits that will appear in the facility's NPDES permit.

Step 11 **PM reviews criteria and request.** The PM will review the facility design basis provided by the AE, comparing it to DNR records for reasonableness. DNR review at this point will avoid delays and major issues with project planning that could occur later when it could be more difficult to make adjustments. Agreement on design criteria to be used in the planning of new or modified facilities is important as the effluent limits may vary and affect the cost-effectiveness of decisions made by the Owner.

Step 12 **♦ PM concurs with the design criteria and moves to next step.** If the PM cannot concur with the design criteria submitted by the AE, the PM will contact and work with the AE toward mutual agreement.

Step 13 **PM requests WLA.** The PM submits the design criteria with a request for a WLA to DNR water resources staff.

Exhibit 3: Water Quality Based Permit Limits Form

Step 14 WR calculates WLA. The Water Resources section calculates the WLA and NPDES permit limits based on the conditions proposed by the AE.

Step 15 PM sends limits to AE. The PM will transmit the permit limits to the AE. PM will also notify AE of concurrence with the facility design basis.

Step 16 FACILITY PLAN PREPARATION

The AE will receive the permit limits from DNR and continue with facility planning according to the guidance presented in the Project Initiation Meeting and subsequent information. Close coordination with the PM must be maintained if there are departures from previous agreements. The facility plan development period will depend on the complexity of the project and the AE's schedule.

When the draft facility plan is completed by the AE, the AE will submit it to the Owner for approval.

Clearance from DNR flood plain reviewers should be sought at this point for all projects.

Step 17 ♦ Owner approves facility plan. The facility owner should be involved in the planning process. The Owner must make a decision on the facility plan recommendations, either accepting them or asking for revisions from the AE. If the facility plan recommends capital improvements, the Owner must follow up with a decision on financing.

At this point, the facility plan will be ready to submit to the DNR for review and approval. The next phase of the process, Facility Plan Review and Approval, is outlined in the next section of this manual.

FACILITY PLAN REVIEW AND APPROVAL

The following section of the manual outlines the steps involved in facility plan review and approval. A detailed description of each step in the process (decision points in the process are marked with a ♦) is provided, including footnotes that reference the state regulations behind each step. Also included in this manual are:

- A flow chart of the facility plan review and approval phase (numbers in the flow chart correspond with the numbered steps in the process description); and
- Related exhibits.

Steps in the process that are associated with the Clean Water State Revolving Fund are italicized.

Step 18 FACILITY PLAN SUBMITTAL

There are three major pieces that should be completed at this point:

1. The facility plan, approved by the Owner, is submitted to the DNR PM. Exhibit 9 shows the requirements for facility plans.
2. Facility modifications will also require an amendment or re-issuance of the NPDES permit for the facility. The NPDES application should be submitted at the same time as the facility plan. This will allow for adequate time for the NPDES permit to be processed prior to the issuance of a construction permit. If there are questions as to whether an NPDES application is needed, the PM can assist with contacting NPDES staff.

NPDES application submittal is to:

NPDES Section
Iowa Department of Natural Resources
Wallace State Office Building
502 E. 9th Street
Des Moines, IA 50319

3. *If the municipal owner is applying for a CWSRF loan, the Intended Use Plan (IUP) application should also be submitted at this time. The project will be scored and placed on the project priority list during the next quarterly update of the CWSRF IUP.*

Three copies of the facility plan (*with a copy of the IUP application if applicable*), should be sent to:

Wastewater Construction Section
Iowa Department of Natural Resources
Wallace State Office Building
502 E. 9th Street
Des Moines, IA 50319

Exhibit 8: Intended Use Plan Application

Step 19 PM does preliminary review. The PM will initiate a preliminary review of the facility plan as soon as possible. The purpose of this review is to identify major issues that need attention before proceeding with a technical review. The review will follow Exhibit 9, the facility plan checklist.

Exhibit 9: Preliminary Review of Facility Plan Checklist

Step 20 ♦ PM determines adequacy of facility plan. If there are no issues of concern, detailed and technical review will commence. If there are issues relative to the checklist items, the PM will return the facility plan to the AE so the issues can be addressed and the facility plan resubmitted.

Step 21 ERSC Coordinator works with Owner, AE and others.

AE provides the Environmental Review Services (ERS) Checklist (Exhibit 5) and accompanying materials to the ERS Coordinator (ERSC). The ERS Checklist documents should be sent to:

SRF Environmental Review Services
Iowa Department of Natural Resources
401 SW 7th, Suite M
Des Moines, IA 50309-4611

The ERSC reviews and if additional information is required, the ERSC will coordinate with the Owner, AE and others as appropriate in order to start the environmental review process. If the project meets the provisions of a categorical exclusion, the ERSC will discuss this option with the owner, AE and PM.⁴

If the project does not meet the provisions for a categorical exclusion, the ERSC will consult with various parties (USFWS, SHPO, USACE, Tribes, etc.) in order to better determine the environmental impact of the project.

Exhibit 5: Environmental Review Services Checklist

Step 22 ERSC coordinates with the AE and Owner to determine a well-timed public hearing.

Based on the expected schedule of the Environmental Review, the ERSC will coordinate with the AE and Owner to determine what date would be appropriate for the required public hearing.

Exhibit 6: Public Notice Example

Step 23 Owner places a 30-day public notice prior to public hearing.

The Owner is responsible for publishing public notice 30-days prior to the public hearing date. The public notice should be published in a local newspaper or otherwise “well-publicized” such as posting in at least three public locations (City Hall, Post Office, etc.) in the city which have

⁴ Categorical Exclusion from NEPA—see also 40 CFR 6.107d-e and 40 CFR 6.505b-c

been permanently designated for public notice by ordinance in order to inform the affected community.

Step 24 PM initiates site survey. If a facility plan recommends a new facility site or the expansion of an existing site, the PM will initiate site acceptance procedures early in the facility plan review. The PM will send appropriate documentation to the DNR field office so that an on-site inspection may be done.⁵

Step 25 PM reviews facility plan. The PM will continue a technical review of the facility plan to determine compliance with state design standards. If necessary, comments will be provided to the Owner and its AE so that adjustments can be made to result in an acceptable facility plan.

Step 26 FO makes site survey contacts. The DNR field office contacts the Owner and AE to set up a time for the site survey investigation.

Step 27 Field Office conducts site survey. The site survey will be done in coordination with the city and the AE. One or both should be present to access the site and identify the proposed location with as much accuracy as possible. The field office will send the site survey report, including field findings, to the PM.

Step 28 ERSC provides EID to Owner.

The ERSC will assemble and send to the Owner an Environmental Information Document (EID) prior to the public hearing. This document will include reference to concurrence letters from various organizations (SHPO, USFWS, USACE, IDNR Water Resources, IDNR Conservation & Recreation, and others) and will summarize the findings of the environmental review to date. The EID and a copy of the facility plan should be made available to the public at a central repository during public notice. These documents should be presented at the public hearing for comment by the AE.

Step 29 Owner holds public hearing for CWSRF.

The Owner will hold a public hearing where the AE will present a summary of the proposed project, the potential environmental and financial impacts to the community and any alternatives

⁵ Site survey by state – reference Iowa Code 455B.173 and state rule 567 IAC 64.2

that were considered. The public will then be afforded an opportunity to contribute input. Resolution of any significant local concerns may be necessary.

Exhibit 7: Public Hearing Checklist

Step 30 *Owner provides proof of public notice and public comments.*

Owner provides the ERSC with either proof of publication (including the date published and the newspaper name) or a statement of how the public notice was accomplished, as well as the minutes from the public hearing, signed by the city clerk, including any comments from the public. In addition, the Owner returns a copy of the EID with an authorized signature.

Step 31 ♦ *ERSC reviews public input.*

For CWSRF projects, the ERSC will review any public comments. Based on the material and comments gathered, the ERSC will prepare an Environmental Assessment document (EAD) and make a decision whether or not a Finding of No Significant Impact (FNSI) is appropriate. If needed, a FNSI may require impact mitigation, such as vibrational monitoring in historical neighborhoods, wetland creation, various permits, or other actions; if any of these actions are needed, the ERSC will notify the applicant. If a FNSI cannot be reached, even through mitigation, the project will be unable to obtain SRF funds.

Step 32 ♦ **PM determines if facility plan is approvable.** The PM evaluates the facility plan, the Environmental Information Document, the site survey, and the SHPO information and determines whether or not the facility plan will be approvable.

Step 33 *ERSC issues FNSI.*

If appropriate, the ERSC will issue the FNSI. The ERSC will distribute the FNSI to interested parties and put it out for a mandatory 30-day period to allow input or comments. During this time, interested parties may prepare comments in response to the FNSI and submit them to DNR.

Step 34 **PM sends site approval letter.** If the site meets siting criteria of state rules, the PM will send an approval letter to the Owner.

Step 35 ♦ *ERSC evaluates comments.*

The ERSC will evaluate any comments received in response to the FNSI to determine if the FNSI is appropriate as written or needs revision or if there are any adjustments to the project needed to resolve any warranted concerns. If comments warrant, the ERSC will revise the FNSI; if this is necessary, the ERSC will reissue the FNSI and a new 30-day review period will begin.

Step 36 *ERSC issues FNSI clearance letter.*

Provided the FNSI is still appropriate as written, the ERSC will distribute the FNSI clearance letter to the Owner, AE, and other interested parties. The ERSC will notify the Iowa Finance Authority (IFA) that the FNSI has cleared review.

Step 37 **PM approves facility plan.** When the PM can concur with the technical aspects of the facility plan, the PM will send a facility plan approval letter to the Owner, identifying and describing the project being approved.

The PM will notify the Iowa Finance Authority that the facility plan has been approved.

Once both the facility plan has been approved and the FNSI has cleared review, IFA can begin to work with the municipal owner on loan application procedures.

Once the facility plan has been approved, the Owner and AE can begin the next phase of the process. The steps involved in development of plans and specifications and construction permitting are outlined in the next section of this manual.

PLANS AND SPECIFICATIONS DEVELOPMENT AND CONSTRUCTION PERMITTING

The following section of the manual outlines the steps involved in the development of plans and specifications and the issuance of construction permits. A detailed description of each step in the process (decision points in the process are marked with a ♦) is provided, including footnotes that reference the state regulations behind each step. Also included in this manual are:

- A flow chart of the plans and specification development and construction permitting phase (numbers in the flow chart correspond with the numbered steps in the process description); and
- Related exhibits.

Steps in the process that are associated with the Clean Water State Revolving Fund are italicized.

Step 38 ♦ Owner authorizes AE to start design. Once the facility plan is approved, the Owner can proceed with the next stage of the process, the development of plans and specifications and application for a construction permit.

Step 39 AE begins construction permit application. When the Owner provides authorization to proceed, the consulting engineer (AE) can begin to prepare a construction permit application. The checklists listed below should be used to assure that all necessary items are completed. The AE should plan to submit a preliminary construction permit application (plans and specifications and application schedules) to the DNR PM at about 60% completion. This stage should include the checklist items to allow a review to verify that the project will comply with standards and conform with the facility plan. The time period for development of plans and specifications (P&S) will depend on the complexity of the project and the AE's schedule, and the Owner and AE should coordinate on the preparation of the preliminary submittal.

Exhibits 10A, B, or C: Preliminary Plan and Specification Submittal Checklists

Step 40 PM reviews preliminary P&S. The PM will review the preliminary P&S submittal according to Exhibit 10A, B, or C, depending on the type of project, and prepare a report.

Step 41 PM schedules design conference. The PM will schedule a design conference with the Owner and AE.

Step 42 DESIGN CONFERENCE

At the design conference, the PM will review the findings of the review of the preliminary submittal. A mutual plan for resolution of any issues will be worked out between the PM and the Owner and AE. Information relative to preparation of a complete final construction permit application package will be discussed to assure that all necessary items are included in the final submittal.

For CWSRF projects, the PM will also discuss front-end requirements.

Exhibit 12: CWSRF Front-End Specification Assurance Checklist

Step 43 AE continues with design. Following the design conference, the AE continues with project design and prepares the final construction plans and specifications.

Step 44 AE submits construction permit application. The AE will submit a complete construction permit application package to the PM. All items addressed in the design conference should be included. The package should be sent to:

Wastewater Construction Permit Section
Iowa Department of Natural Resources
Wallace State Office Building
502 E. 9th Street
Des Moines, IA 50319

Step 45 PM reviews application. The PM will do a final complete review of the application package. Conformance with design standards will be checked.

Step 46 ♦ PM determines if application can be approved. If the application is approvable, the PM will verify that an appropriate NPDES permit has been processed and issued. If the project is not approvable, the PM will furnish comments to the Owner and AE so revisions can be made.

Step 47 PM issues construction permit. The PM will then prepare and issue a construction permit and send it to the Owner with a copy to the AE.

For CWSRF projects, this mailing will also include a copy of the Bid Document Checklist (Exhibit 13).

Exhibit 13: CWSRF Bid Document Checklist

PROJECT CONSTRUCTION

Step 48 Owner Bids Project and Signs CWSRF Loan.

Once the construction permit is issued, the Owner goes out for bids for the project. At this point, if they haven't done so already, the Iowa Finance Authority will contact the Owner about preparing to sign the CWSRF loan.

Extended financing terms are now available for all CWSRF loans, based on the useful life of the project. Calculations in Exhibit 14: CWSRF Extended Financing Worksheet provide the justification for setting the actual loan term. The AE completes the worksheet and submits it to the PM. The PM reviews and approves it and sends it to IFA.

Exhibit 14: CWSRF Extended Financing Worksheet

Step 49 *Consultant Submits Bid Document Package to DNR.*

When bids are received and the Owner accepts a bid proposal, the Consultant prepares and submits to DNR a packet of documents as shown in Exhibit 13. When all the information is complete, DNR issues to the Owner a letter of concurrence in award, which also explains the amount of bid that is eligible for CWSRF reimbursement.

Step 50 *During Construction, DNR Reviews Cost Eligibility.*

After signing a CWSRF loan, the Owner will submit reimbursement requests to the Iowa Finance Authority. The DNR project manager will review those requests to make sure all the costs claimed are eligible.

Step 51 *During Construction, Owner Submits Change Orders to DNR.*

For non-CWSRF capital improvement projects, change orders and addenda that affect the scope or nature of the project must be submitted to the DNR project manager before enacting.

For all CWSRF projects, such change orders, as well as those that affect the project location, must be submitted before enacting. Changes could affect project eligibility or funding. All change orders and addenda must be submitted for approval before final loan disbursements are made.

Please note: All change orders and addenda require a signature and seal from the Consultant.

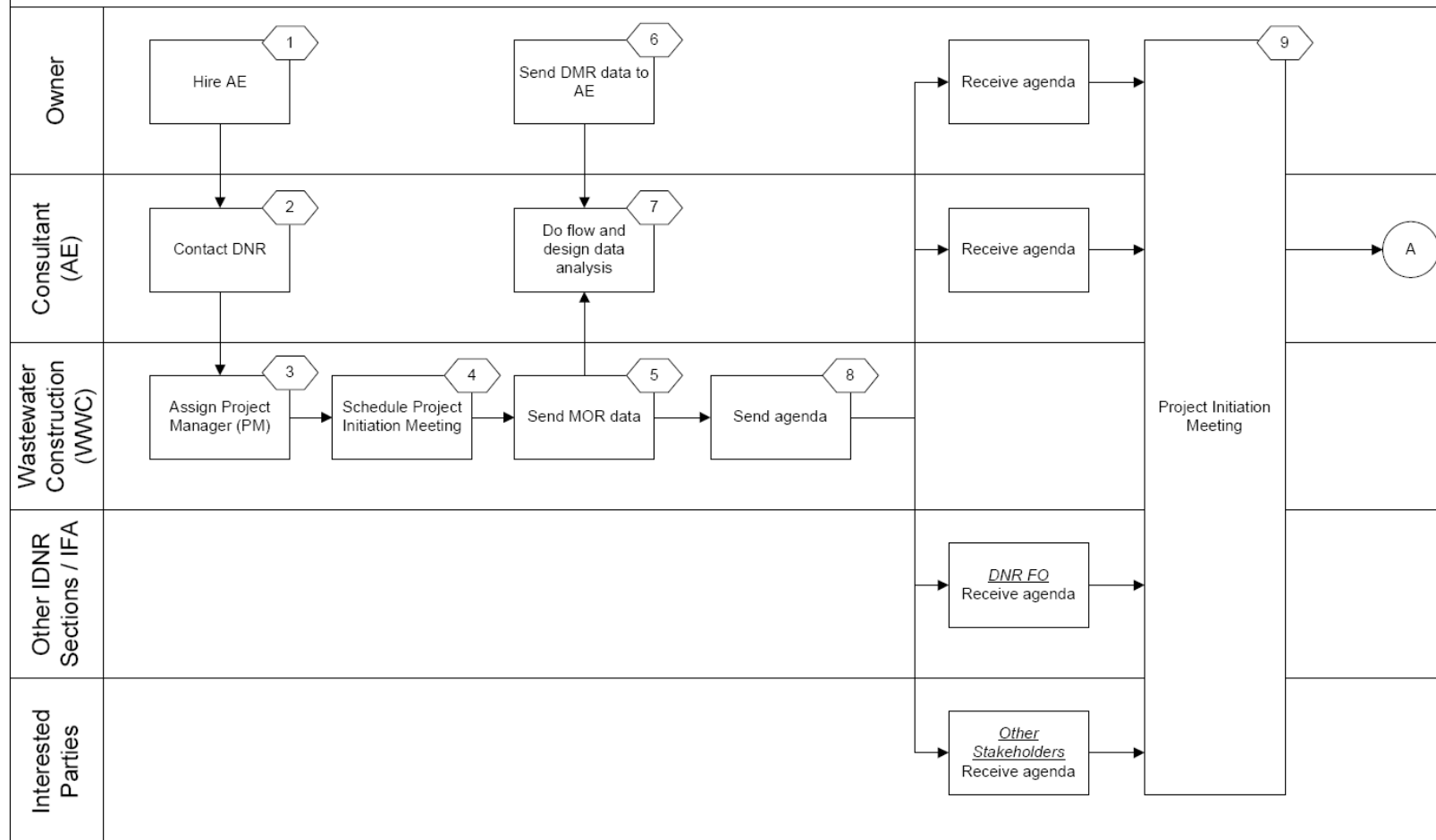
Step 52 *DNR Conducts Inspections.*

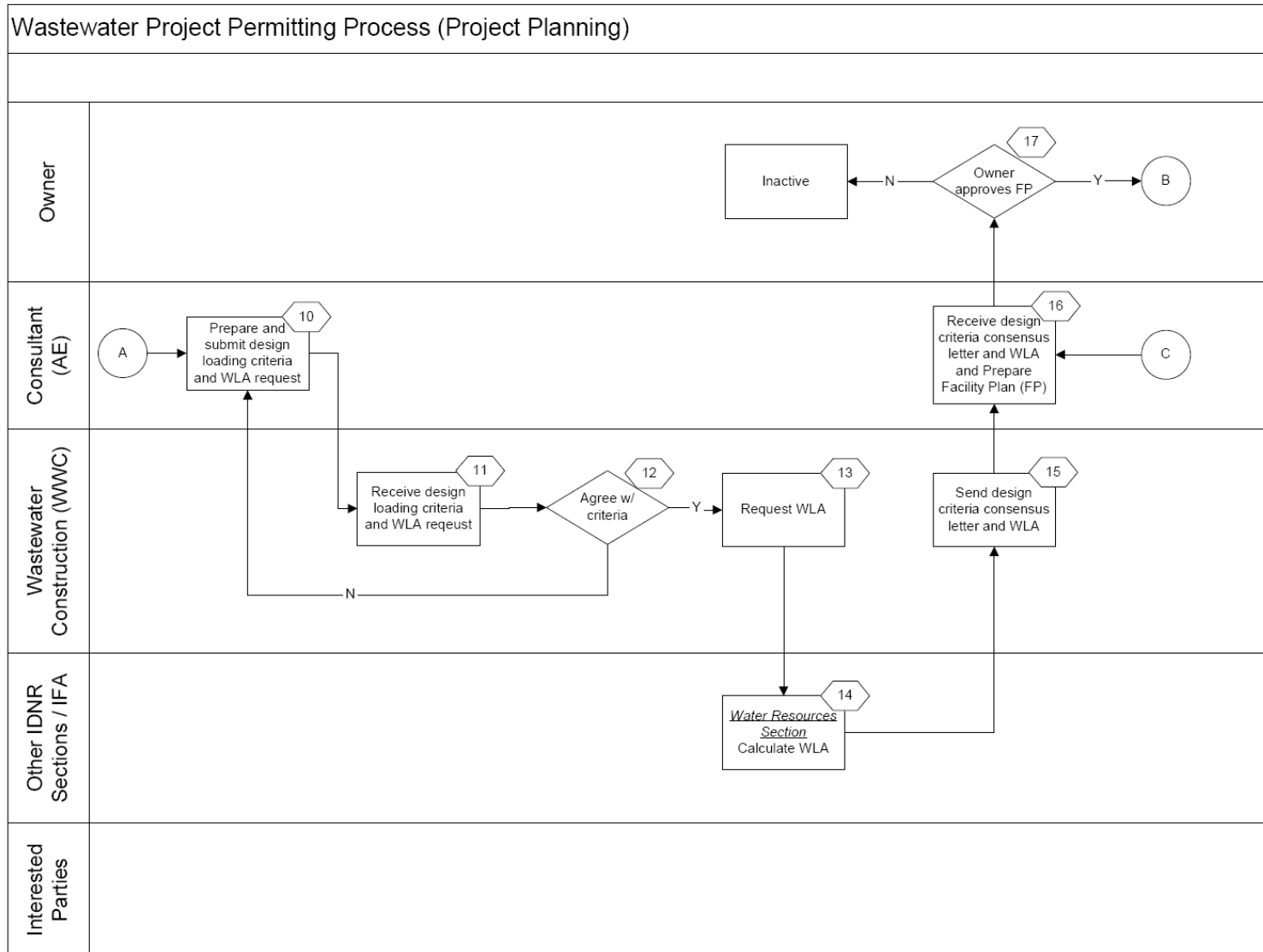
For non-CWSRF projects, DNR may conduct interim and/or final inspections as needed.

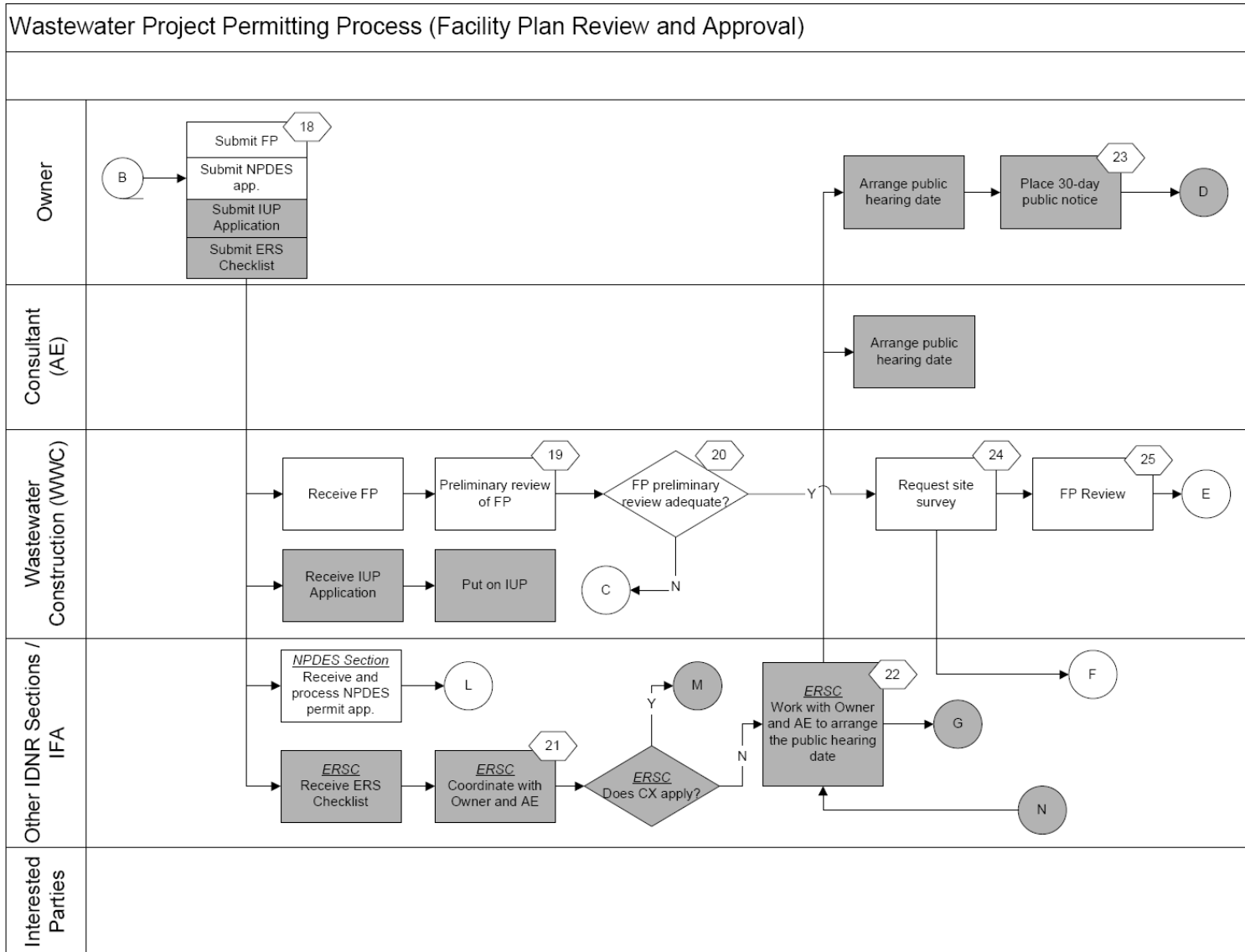
For CWSRF projects, interim inspections at appropriate times in the construction schedule may be conducted as needed, and a final inspection will be conducted for all projects. The final inspection will be conducted after the Owner has notified the Iowa Finance Authority that the construction is completed.

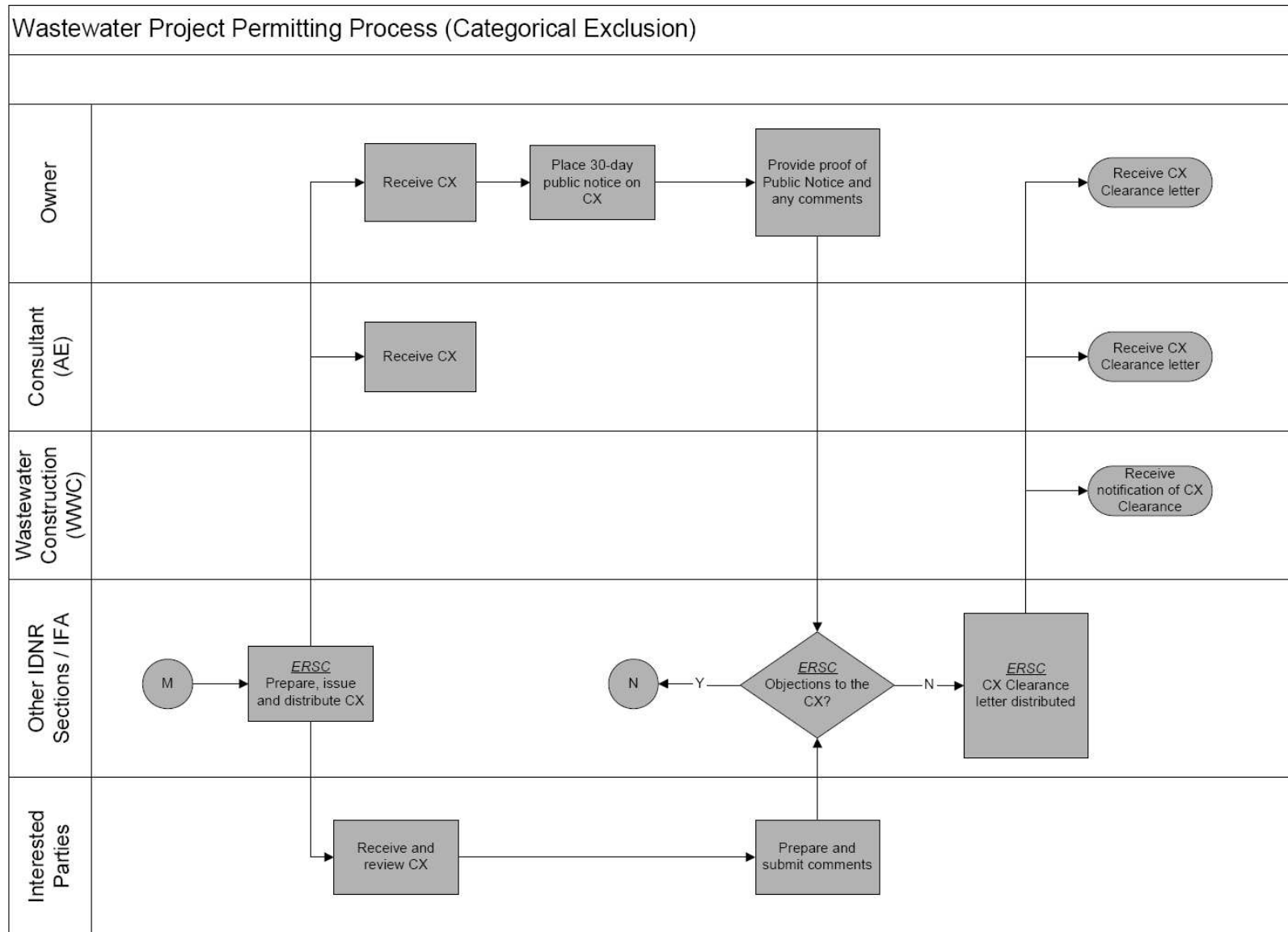
**END OF WASTEWATER CONSTRUCTION PERMITTING PROCESS
THANK YOU!**

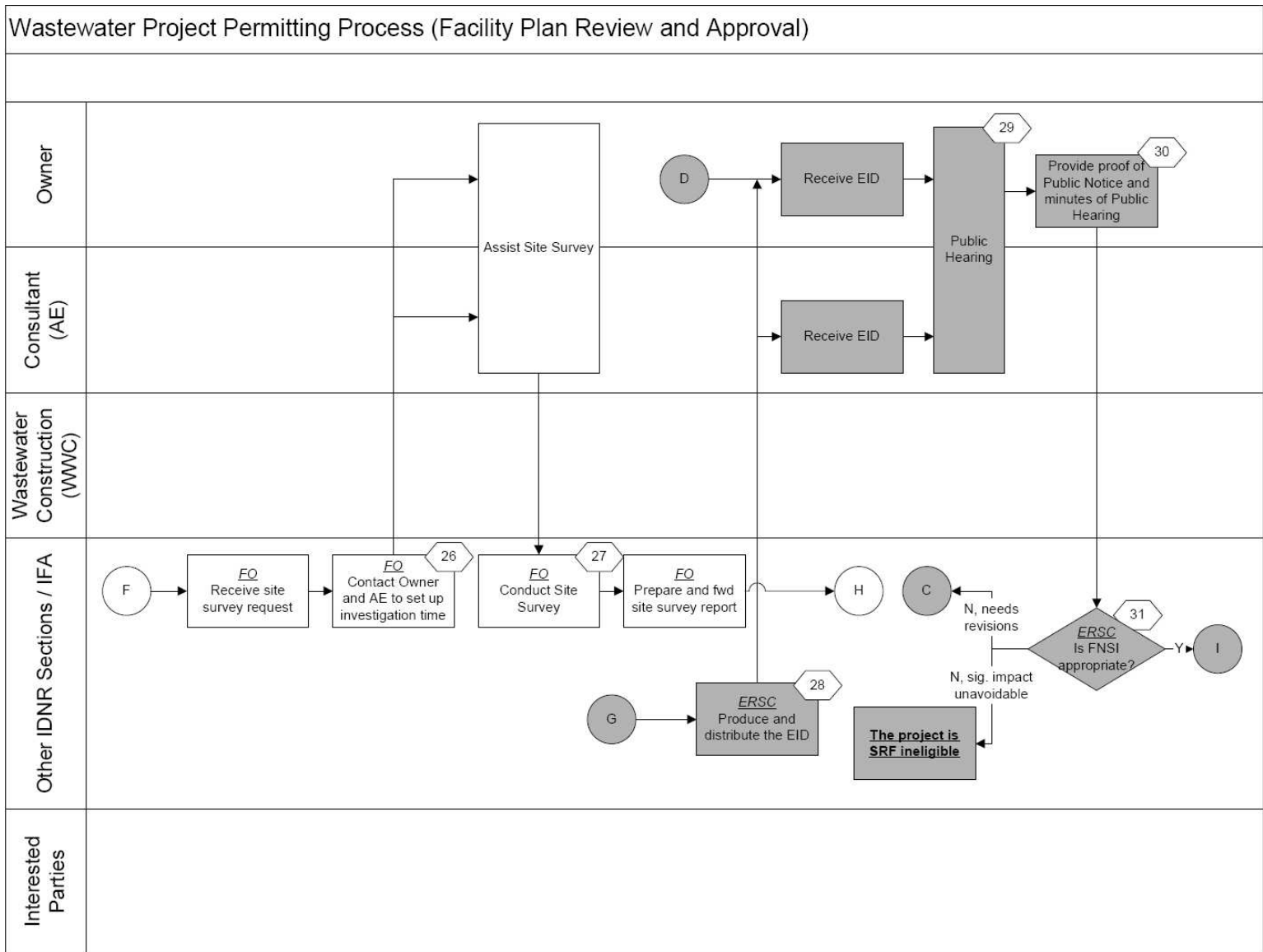
Wastewater Project permitting Process (Project Planning)

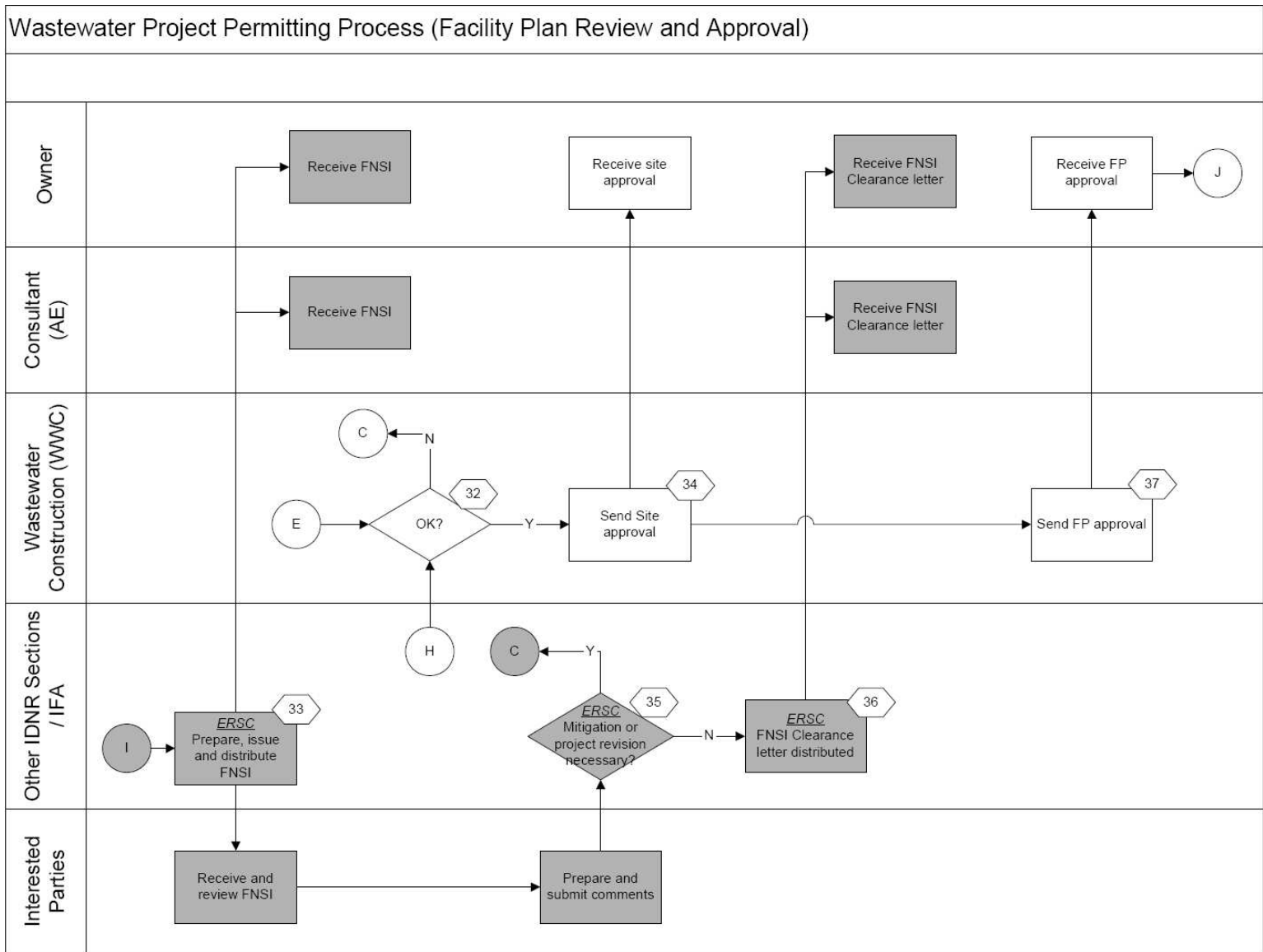


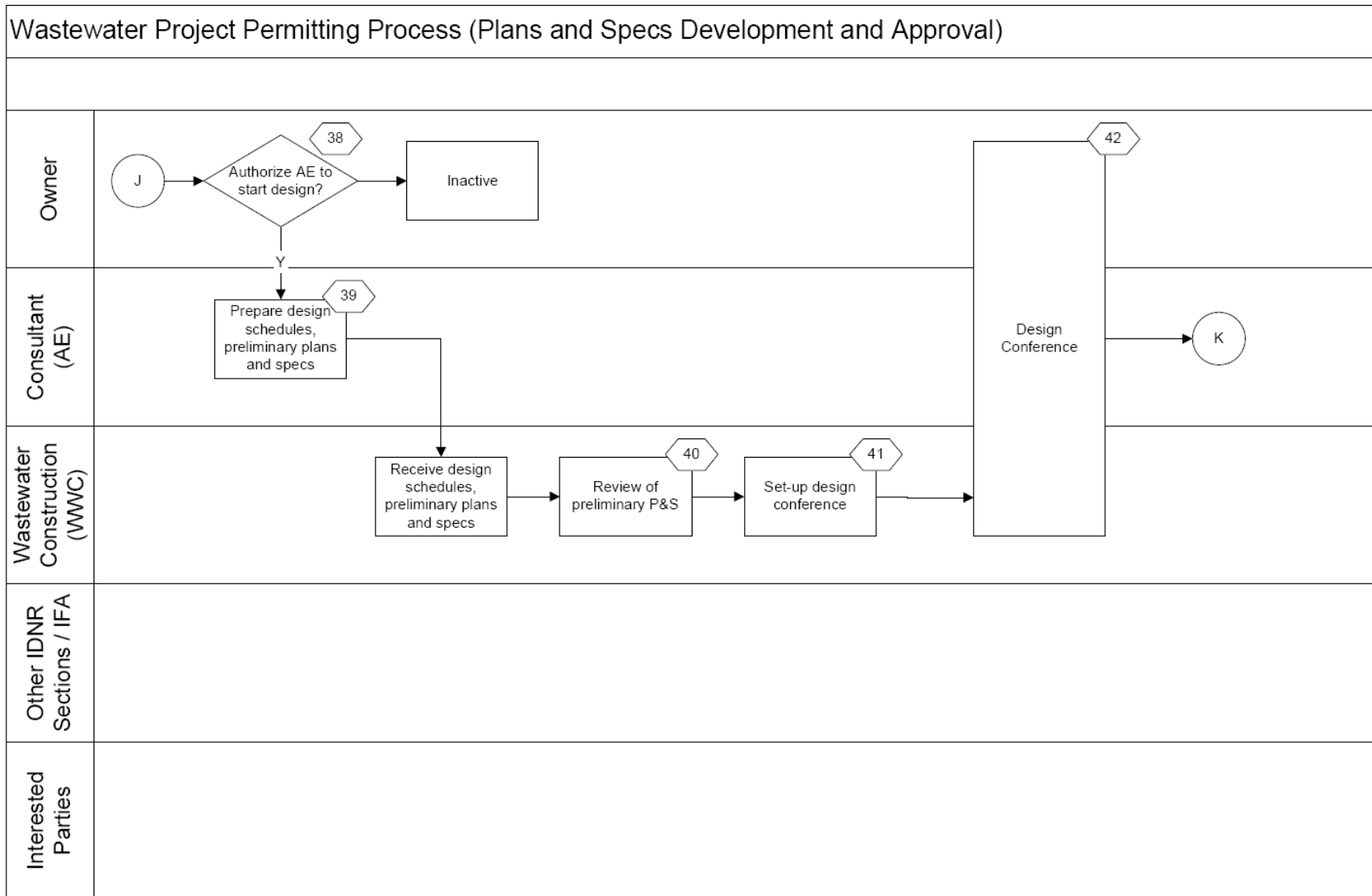


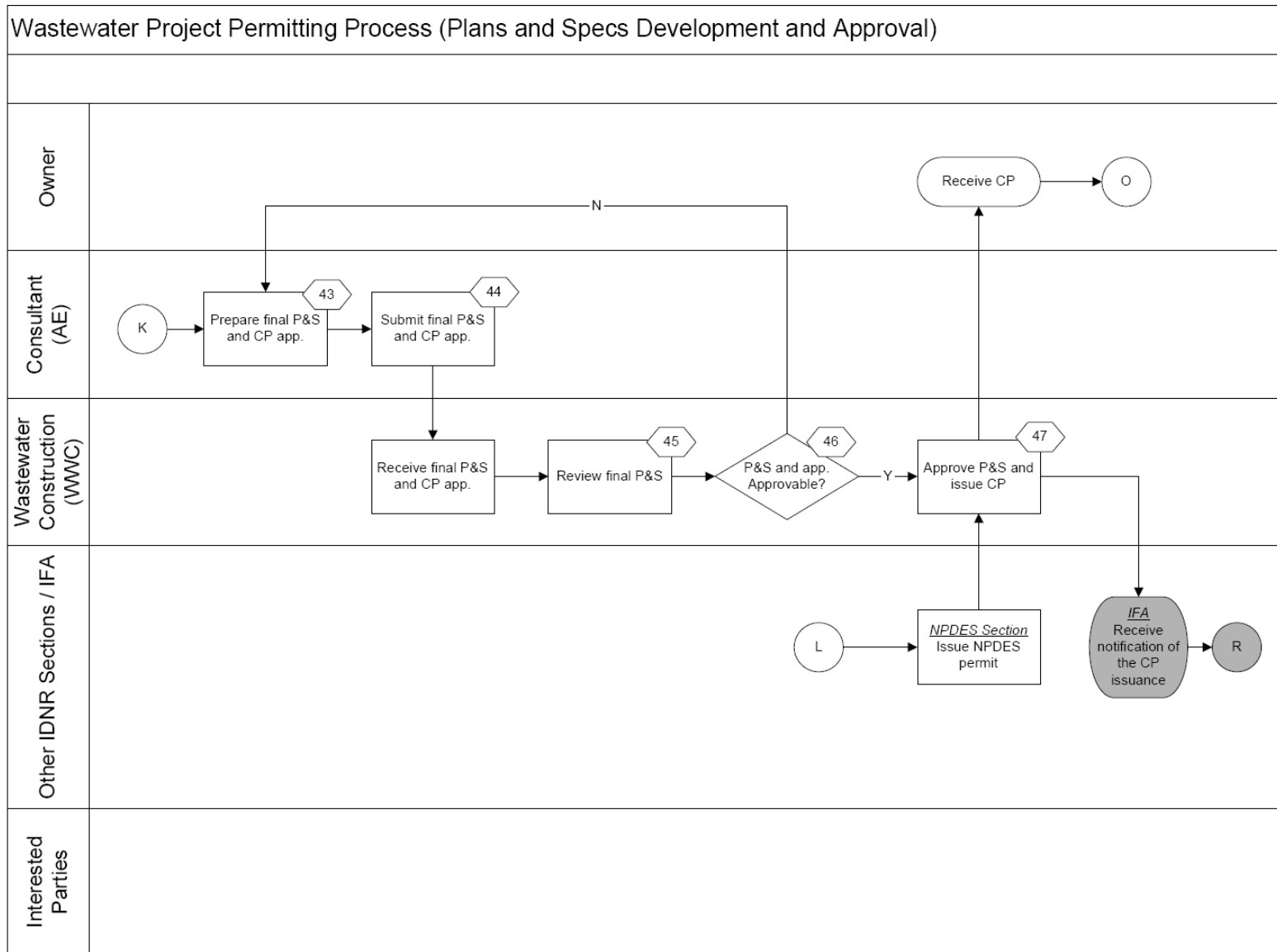


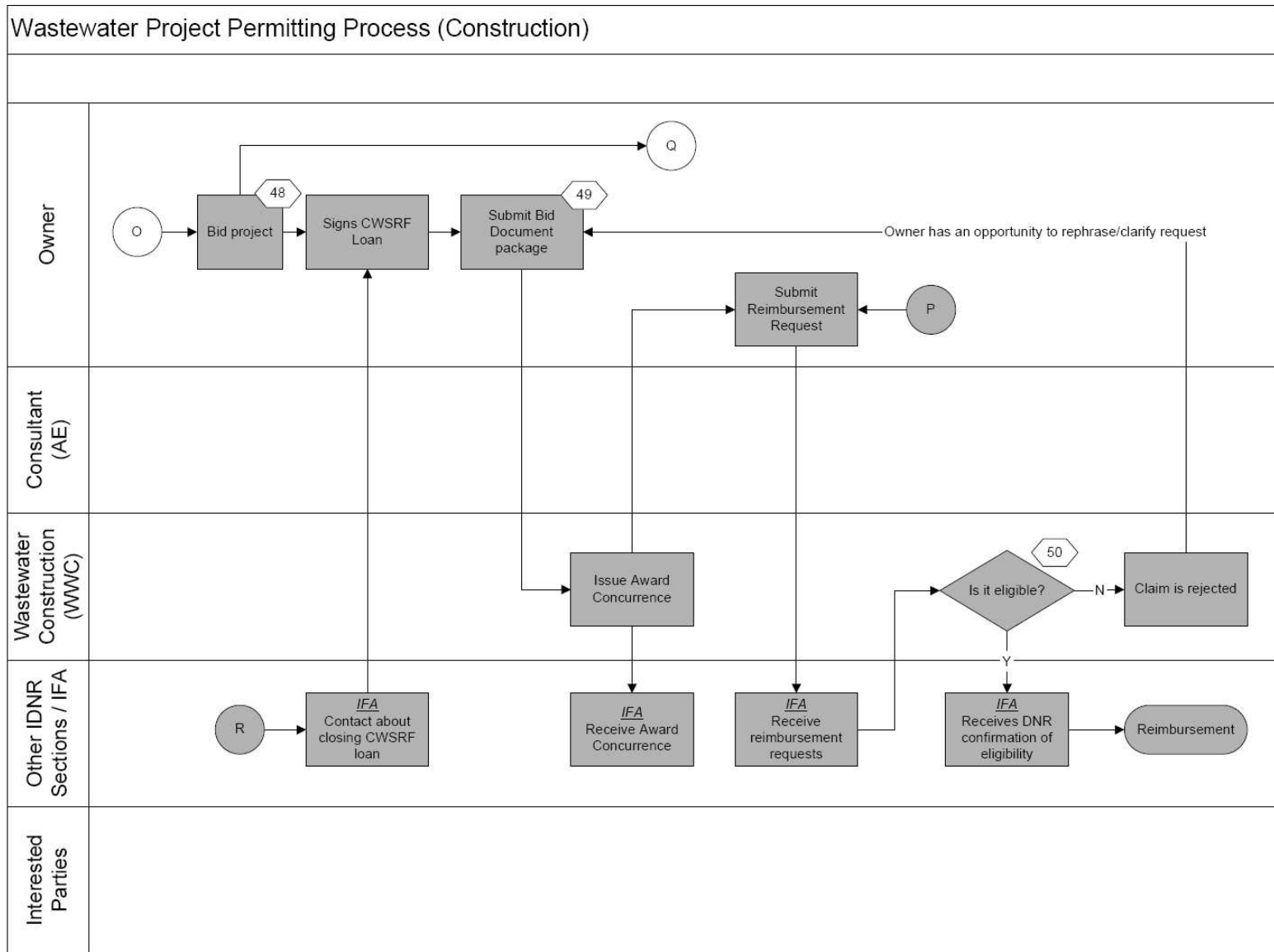


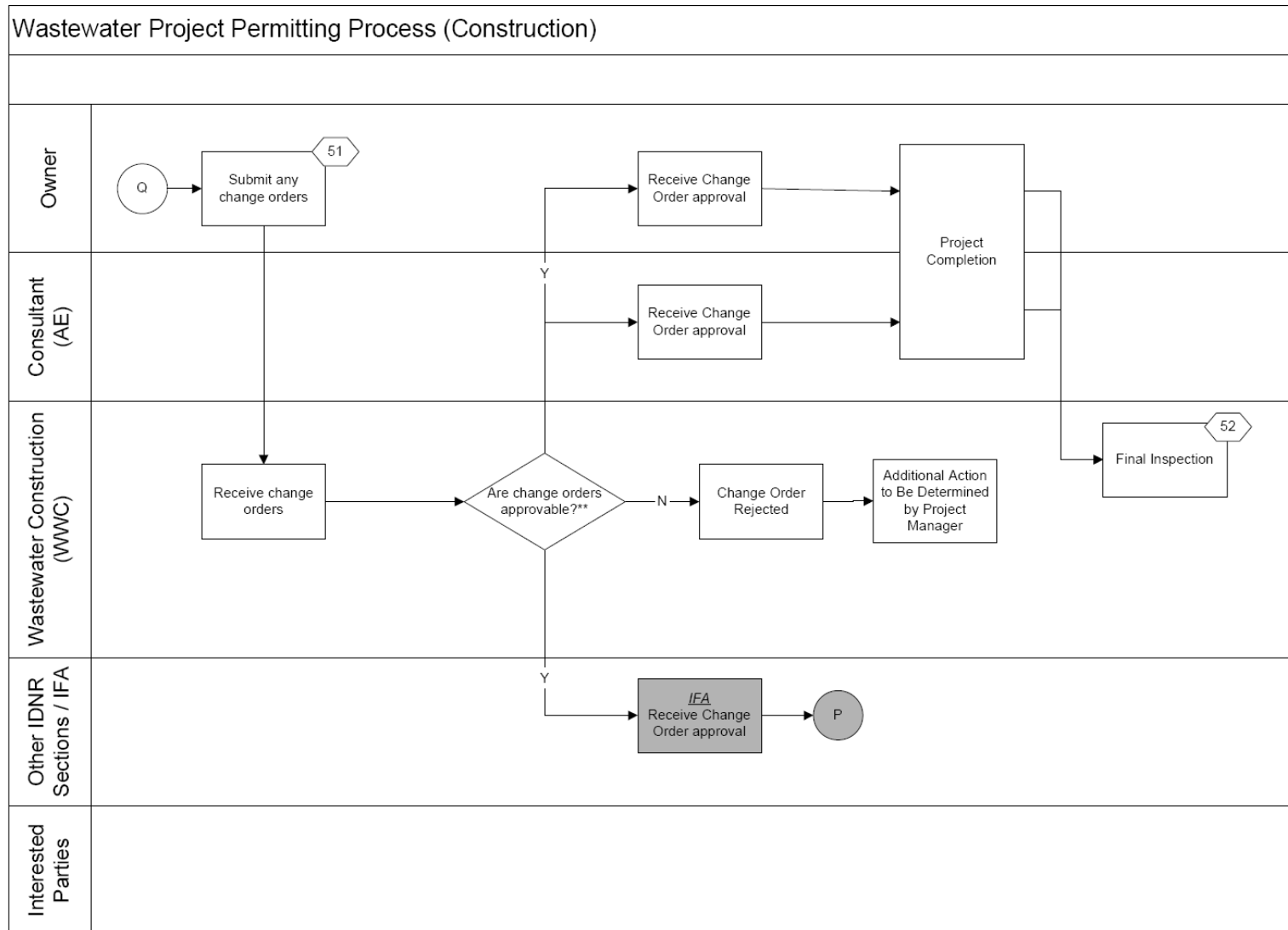












**If project revision is required and the project is SRF, be sure to contact the ERSC for an assessment of the impact of this revision.

Exhibit 1

Planning & Design Loans

For Wastewater, Storm Water & Drinking Water Infrastructure

Planning & Design Loans

- Financial assistance for communities that are in the planning and design phase of a proposed water pollution control or drinking water project.
- **0% interest for up to 3 years**
- **NO** initiation fee
- **NO** servicing fee
- **NO** minimum loan amount
- **NO** maximum loan amount
- Eligible costs include the following: Engineering fees, archaeological surveys, environmental studies, and fees related to project plan preparation and submission.
- Loans will be rolled into a SRF construction loan **OR** may be repaid upon permanent financing.
- **The project planning and design costs must be directly related to the proposed wastewater, storm water or drinking water project.**

Water pollution control projects:

- Construction of treatment plants or improvements to existing facilities
- Sewer line extensions to existing unsewered properties
- Combined sewer overflow corrections
- Infiltration/inflow projects
- Storm water projects that have an environmental benefit

Drinking water projects:

- Construction of treatment plants or improvements to existing facilities
- Water line extensions to existing unserved properties
- Water storage facilities
- Wells

Eligible Entities:

- Cities, towns, counties, regional sewer/water districts, conservancy districts and water authorities eligible for water pollution control and drinking water SRF loans.
- Private and not-for-profit facilities eligible for drinking water SRF loans.

Application forms are available at: www.iowafinanceauthority.gov or www.iowasrf.com

For more information, contact:

Lori Beary
515-725-4965
lori.beary@iowa.gov



Tracy Scebold
515-725-4922
tracy.scebold@iowa.gov

2015 Grand Avenue
Des Moines, IA 50312
515.725.4900 800.432.7230 515.725.4901 (fax)

Exhibit 2
Iowa Department of Natural Resources
Wastewater Construction Section
Project Initiation Meeting Checklist and Sample Agenda

DNR Pre-Meeting Activities

1. _____ Assign project manager and establish a DNR project tracking number once notification of a wastewater project is received from the Owner or their consulting engineer (hereinafter referred to as AE).
2. _____ Schedule project initiation conference and meeting location.
3. _____ Send Project Initiation Conference Agenda and Scope of Study Checklist to the Owner, AE, DNR Field Office, and other interested parties.
4. _____ Transmit DNR's electronic records of plant monitoring data to the AE.

Meeting Agenda

5. _____ Record project contacts for Owner, AE, DNR, and others, with names, mailing addresses, phone, fax and e-mail addresses.
6. _____ Additional related project information should be presented by the DNR: field office inspection reports, compliance schedules, facility compliance report, etc.
7. _____ Discuss the proposed design flows and organic loadings as presented by the AE.
8. _____ Discuss current and future needs for added capacity.
9. _____ Discuss anticipated financing arrangements, including Planning and Design Loan availability and plans for Clean Water State Revolving Fund (CWSRF) construction loan or other financing program applications.
10. _____ Provide overview of DNR Design Standards, Chapter 14 Reliability Criteria and New Process Evaluation Procedures, DNR Design Schedules and Project Management Procedures.
11. _____ Discuss Siting Considerations
 - Probable Location of Facilities
 - Receiving Stream and Classification
 - Discharge Point Alternatives
 - State Historic Preservation
 - DNR Site Separation Criteria
 - Flood Plain Permits
 - Section 404 Requirements - Wetlands
 - Important Farmlands
 - Geotechnical Investigations and Coordination
 - Land Acquisition – federal requirements

12. ____ Discuss ongoing rule or policy changes which may impact the Waste Load Allocation or any other important design criteria
13. ____ Establish Scope of Study for preparation of a Facility Plan
14. ____ Develop Project Schedule for Milestones
 - Preliminary Project Submittal by the AE with Design Flows and Organic Loadings
 - Preliminary Concurrence with Design Flows and Organic Loadings
 - If needed, issuance of a current Wasteload Allocation (WLA) by the DNR
 - Submit Requests for preliminary Agency Clearances and/or Comments*
 - US Fish and Wildlife
 - Corps of Engineers
 - State Historical Society of Iowa (transmitted by the Lead Federal Agency only)
 - DNR Floodplain Management
 - DNR Conservation and Recreation Division
 - USDA/NRCS (significant farmland conversion)
 - Public Hearing*
 - Submittal of a complete Facility Plan, including required Design Schedules
 - Procedures for Applying for a CWSRF Construction Loan
 - Submittal of Application for an NPDES Permit
 - Preliminary Siting Approval for New or Expanded Wastewater Treatment Facilities
 - Submit remaining requests for Agency Clearances and/or Comments*
 - Completion of Environmental Information Documentation by Loan Recipient*
 - Issuance of the FNSI*
 - Approval of the Facility Plan
 - Design Conference
 - 60 Percent Preliminary Plan and Specification Submittal
 - Final Plan and Specification Submittal
 - Start Construction
 - Completion of Construction

* May only be required for projects financed through CWSRF or other financing programs

DNR Post-Meeting Activity

15. ____ Prepare Meeting Minutes Summary and distribute to Owner, AE, DNR Field Office, Central Office sewage and project files, and others.

EXHIBIT 3
ENVIRONMENTAL SERVICES DIVISION
WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM & INSTRUCTIONS

SECTION I: BACKGROUND INFORMATION	
1) Date Requested:	2) Date Needed:
3) Wasteload Allocation Priority Justification:	

SECTION II: FACILITY INFORMATION									
4) Facility Name:					5) NPDES/Sewage File Number:				
6) Facility Location		Section:		Township:		Range:			
Latitude:		Deg:		Minutes:		Seconds:			
Longitude:		Deg:		Minutes:		Seconds:			
7) Description of Industry and Principal Products:									
8) Field Office: Select:					9) County:				
10) Treatment Type: Select:					11) Other Treatment*:				
12) The WLA is being requested for: Select			13) Map Included (Required for a new/proposed facility): <input type="checkbox"/>			14) Toxicity % Required (For Major Facilities)*: <input type="checkbox"/>			
15)	ADW ** (MGD)	AWW** (MGD)	CDL (MGD) AWW x 10	Latitude (Deg/Min/Sec)			Longitude (Deg/Min/Sec)		
Outfall #									
Outfall Description	Select:								
Stream Network									
Classification of Receiving Stream	Select:								
Outfall #									
Outfall Description	Select:								
Stream Network									
Classification of Receiving Stream	Select:								
Outfall #									
Outfall Description	Select:								
Stream Network									
Classification of Receiving Stream	Select:								

16) New WLA Request Options	Regular <input type="checkbox"/>	Diffuser <input type="checkbox"/>	Flow Variable <input type="checkbox"/>	MZ Study MZ%: Z ID%:	Site Specific pH and Temperature <input type="checkbox"/>
17) Previous WLA Calculations Completed*	Qual II E <input type="checkbox"/>	Diffuser <input type="checkbox"/>	Flow Variable <input type="checkbox"/>	MZ Study MZ%: Z ID%:	Site Specific pH and Temperature <input type="checkbox"/>

*Indicates that this information is optional and may need access to a facility's file to fill out

18)* For Facilities who will or may discharge TRC: Time of Travel within the sewage pipe (from sampling point to outfall) if applicable – (it will be an assumed zero if not filled out) (ADW)Time of Travel: or pipe length: Velocity in pipe(ft/s): (AWW)Time of Travel: Velocity in pipe(ft/s):	19) UV Disinfection – (No TRC Required) <input type="checkbox"/>
---	---

20) Is the waterbody*	Impaired: <input type="checkbox"/>	Unimpaired: <input type="checkbox"/>
21) If the waterbody is impaired, what is it impaired for:		
22) Status of the TMDL*:		

23) Parameter		Frequency	Parameter	Frequency
CBOD	<input type="checkbox"/>		Common Metals	
Ammonia	<input type="checkbox"/>		Cadmium	<input type="checkbox"/> 1/week
E. Coli	<input type="checkbox"/>		Chromium	<input type="checkbox"/> 1/week
Fecal Coliform	<input type="checkbox"/>		Copper	<input type="checkbox"/> 1/week
TDS	<input type="checkbox"/>	1/month	Cyanide	<input type="checkbox"/> 1/week
Chloride	<input type="checkbox"/>		Lead	<input type="checkbox"/> 1/week
TRC	<input type="checkbox"/>		Nickel	<input type="checkbox"/> 1/week
			Silver	<input type="checkbox"/> 1/week
Priority Pollutants			Zinc	<input type="checkbox"/> 1/week
ALL:	<input type="checkbox"/>			
	<input type="checkbox"/>		Others	
	<input type="checkbox"/>		Iron	<input type="checkbox"/>
	<input type="checkbox"/>		pH	<input type="checkbox"/>
	<input type="checkbox"/>		Temperature	<input type="checkbox"/>
	<input type="checkbox"/>			<input type="checkbox"/>
	<input type="checkbox"/>			<input type="checkbox"/>
	<input type="checkbox"/>			<input type="checkbox"/>
	<input type="checkbox"/>			<input type="checkbox"/>
	<input type="checkbox"/>			<input type="checkbox"/>
Submitted Sample Data			Concentration (mg/l)	
24)* TDS:				
Chloride:				

Requested By: Select:	Contact Information (for consultants):
IDNR WW Engineer Name:	
Email (for consultants):	
Additional Comments:	
Population Equivalent (PE) -	

- 28 -

EXHIBIT 3
ENVIRONMENTAL SERVICES DIVISION
WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM & INSTRUCTIONS

The following is a step by step guide for the completion of the Iowa Department of Natural Resources Water Quality based permit limits work request form. If the required information is not filled out completely, it may take longer for the request to be completed by the Wasteload Allocation (WLA) staff of the Water Resources Section.

Please allow for the request to take up to 30 days for completion. Varying levels of complexities may take up to 60 or more days for the completion of the wasteload allocation. If the wasteload request needs to be completed sooner than 30 days, please state the reason in part three of Section I of the form.

Instructions:

Section I

1. Date Requested – The date the WLA was filled out and sent to the DNR WLA staff.
2. Date Needed – The date the WLA request would need to be back to the requester.
3. Wasteload Allocation Priority Justification (optional) – As stated above, a wasteload allocation usually takes up to 30 days to complete with some taking as long as 60 or more days for completion. If the wasteload allocation needs to be completed before the normal processing time, a justification statement needs to be included in the wasteload allocation priority area.

Section II

4. Facility Name – The name of the facility being requested.
5. Sewage File Number (optional for consultants) – This is the number assigned to the facility as it corresponds to the sewage/NPDES file record. If this is a new/proposed facility, a number may not have been assigned to the facility.
6. Facility Location – The description of the location of the facility (Section/Township/Range). This location is not the location of the discharge/outfall pipe, but the facility itself. This information can be located using the following websites:
<http://ortho.gis.iastate.edu/>
<http://www.topozone.com/>
<http://mapserver.maptech.com/api/espn/index.cfm>
7. Description of the Industry and Principal Products (apply only to Industrial Dischargers) - If it is an industrial discharge, please describe what kind of industry, for example, ethanol plant or power plant and the plants principal products.
8. Field Office – There are 6 different field offices in the State of Iowa with a corresponding number: 1-Manchester, 2-Mason City, 3-Spencer, 4-Atlantic, 5-Des Moines, and 6-Washington. Either the number of the field office or the name of the field office will work in this form.
9. County – The name of the County in which the facility is located.

EXHIBIT 3
ENVIRONMENTAL SERVICES DIVISION
WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM & INSTRUCTIONS

10. Treatment Type –A treatment type can be one of the following: Aerated Lagoon, Mechanical plant, Industrial facility, Trickling Filter, Sand Filter, Rotating Biological Contactor, Sequencing Batch Reactor, or None. If the treatment type is not listed here, please enter the treatment type in option number 11 “other treatment”. If this is a new/proposed facility or a proposal for a facility upgrade, please indicate which type of treatment the facility plans on providing.
11. Other Treatment (optional)– If the treatment type wasn’t specified in the drop-down box “treatment type”, then use this category to fill in the treatment type being used.
12. Reason for WLA request – By selecting one of the following categories: new/proposed facility, existing facility, or upgrade to an existing facility, the wasteload staff would know if the sewage/NPDES file contains any previous wasteload options that may need to be considered.

New/Proposed Facility – This facility is not currently an existing facility.

Existing Facility – A treatment plant that has already been constructed and is currently in operation.

13. Map Included (optional for an existing facility) – A check needs to be added if a map was included with the request. A map is needed for use with a new/proposed facility. If the facility already exists, a map does not need to be provided with the request form.
14. Toxicity % (optional) - If the facility is considered a “major” facility, the wasteload allocation staff will provide a toxicity percentage spreadsheet along with the final limits when a municipal plant discharges more than 1.0 mgd (AWW for municipal treatment plants). For industrial facilities, a “major” discharge is determined on a site-specific basis and will be reviewed by NPDES staff.
15. This is the location and information needed for the outfall. If there are multiple outfalls, please fill out each outfall accordingly. If each outfall has different parameters, please fill out a separate wasteload allocation request form for each outfall.

To find the Latitude/Longitude of the outfalls, please refer to the websites found in instruction number 6.

(Example)	ADW ** (MGD)	AWW ** (MGD)	CDL (MGD)** AWW X 10	Latitude (Deg/Min/Sec)			Longitude (Deg/Min/Sec)		
Outfall #	.5	1.5		42	17	35	32	12	25
Outfall Description	Sewage								
Stream Network	Unnamed Tributary to Cedar River								
Classification of Receiving Stream*	A1, B(WW-1)								

**Indicates that the ADW and AWW flows for municipal and semi-public facilities need to be approved by the Iowa Department of Natural Resources Wastewater Construction Section to be used in a wasteload allocation for an NPDES permit. The definitions for ADW and AWW are provided in Section 14.4.5.1 of the Iowa Wastewater Facilities Design Standards. The ADW and AWW are discharge flows. For Controlled Discharge Lagoon (CDL), multiply the 180-day

EXHIBIT 3
ENVIRONMENTAL SERVICES DIVISION

WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM & INSTRUCTIONS

AWW with a factor of 10, since maximum drawdown rate for a CDL is restricted to the value of 10 times of the AWW flow.

ADW = Average Dry Weather Flow (MGD)

AWW = Average Wet Weather Flow (MGD)

MGD = Millions of Gallons per Day

16. New WLA Request Options – If the request is for a new/proposed facility, a check needs to be placed in the box if these options need to be included within the wasteload request. If the request is to include a Mixing Zone study, please include what mixing zone percentages need to be included along with the mixing zone study report.
17. Previous WLA Calculations (optional) – If the previous wasteload request included either a Qual II model, Diffuser, or Mixing Zone Study, an “X” needs to be placed in that category. If this request is coming from a consultant, a previous WLA request or sewage file may not be available to them, so this information is not expected to be included.
18. TRC disinfection statement (optional) – If TRC decay needs to be considered within the pipe, or the facility is currently using TRC for disinfection, or will be using TRC for disinfection in the future, a travel time needs to be included with the form. This is the pipe distance from the monitoring location for TRC to the outfall location.
19. UV Disinfection – If the facility uses UV, a check needs to be placed in this category.

Section III

20. TMDL(optional) – An “X” needs to be placed in the Impaired or Unimpaired category. If the waterbody doesn’t currently have a TMDL, then skip the next two. If the waterbody is impaired, then the next two questions should be completed.
21. Explanation of the impairment for that waterbody (optional) - This information could be gathered from the Iowa Department of Natural Resources 303 (d) report.
22. Status (optional) -Is there a TMDL being worked on for this stream, or is there a TMDL being scheduled for this stream.

EXHIBIT 3
ENVIRONMENTAL SERVICES DIVISION
WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM & INSTRUCTIONS

Section IV

23. An "X" needs to be placed in the column after the parameter if that parameter is being requested. Please make sure to include all the pollutants in the pre-treatment agreement. If there is a sampling frequency (other than the sampling frequency already determined by department staff), please contact NPDES staff to discuss these options. Specific toxics (other than what was provided) need to be added in the appropriate space (Priority Pollutants). The sampling frequency is based on the population equivalent (PE) in Chapter 63 of the Iowa Administrative Code. The design PE is calculated using peak monthly organic loading. The population equivalent should be included within the "Additional Comments" section at the bottom of the WATER QUALITY BASED PERMIT LIMITS WORK REQUEST FORM.
24. Submitted Sample Data (optional) - The new site-specific TDS and Chloride standard was adopted on June 16, 2004. The site-specific TDS approach would first consider a guideline value of 1000 mg/l as a threshold in-stream level at which negative impacts to the uses of the receiving stream may begin to occur. Chloride is a constituent of TDS. At higher levels, chloride could cause toxicity to aquatic life. Thus, the WLA_{acute} and $WLA_{chronic}$ are calculated to evaluate the potential negative impacts. If the facility has already taken either TDS or Chloride data, those concentrations need to be included with the WLA Request form. If the facility is a new/proposed facility, the data would not be available and therefor would not be expected to be included with the wasteload request.

Section V

Contact Information:

Example

Requested By: Joe Smith

Email: Joe.Smith@hotmail.com

Contact Information:

Joe Smith

M & M Engineering

Des Moines IA, 50320 – phone (515) 555-1212

Additional Information – This section is for any other information that the requester feels should be included with the work request.

Or, if the requester is looking for other options to be included with the wasteload allocation, it needs to be specified within this space.

Exhibit 4
Iowa Department of Natural Resources
Wastewater Construction Section
Facility Plan Scope of Study Checklist

Project Name:
Meeting Location:
Date of Pre-Planning Meeting:
Meeting Attendance List:

Design Standard Section		Subsection N/A to Scope
11.1	General	
11.2	Engineering Reports or Facilities Plans	
11.2.1	Title of Project	
11.2.2	Letter of Transmittal	
11.2.3	Title Page	
11.2.4	Table of Contents	
11.2.5	Summary	
11.2.5.1	Findings	
11.2.5.2	Conclusion	
11.2.5.3	Recommendations	
11.2.6	Introduction	
11.2.7	Existing Conditions and Projections	
11.2.7.1	Planning Period	
11.2.7.2	Land Use	
11.2.7.3	Demographic and Economic Data	
11.2.8	Existing Facilities Evaluation	
11.2.8.1	Existing Collection System	
11.2.8.2	Existing Treatment Plant Site	
11.2.8.3	Existing Treatment Facilities	
11.2.8.4	Existing Wastewater Characteristics	
11.2.9	Proposed Facilities Evaluation	
11.2.9.1	Proposed Collection System	
11.2.9.2	Design Wastewater Characteristics	
11.2.9.3	Receiving Stream Characteristics	
11.2.9.4	Treatment Plant Site Requirements	
11.2.9.5	Alternatives	
11.2.9.6	Selected Process and Site	
11.2.9.7	Project Financing	
11.2.9.8	Legal, and Other Considerations	
11.2.10	Combined Sewer Studies	
11.2.11	Appendices: Technical Information and Design Criteria	
11.2.11.1	Collection System	
11.2.11.2	Process Facilities	
11.2.11.3	Process Diagrams	
17.1	Sludge Handling and Disposal	
11.2.12	Plans Subject to Federal Requirements	
	Environmental Information Documentation	
	Additional Items:	

Exhibit 5
Iowa Department of Natural Resources
Wastewater Construction Section
SRF Environmental Review Services Checklist

The following checklist provided for the Owner and AE in order to provide the appropriate information to utilize the SRF Environmental Review Services (ERS). Please provide the following to the SRF ERS Coordinator:

- ☐ A listing of any other planned sources of federal funding to better coordinate environmental review efforts
- ☐ An accurate map of the site with marked boundaries; if the specific area has yet to be specifically defined, please mark a larger area that will include the final project area
- ☐ A project description detailing the project scope
- ☐ A description of any ancillary impact—destruction or abandonment of current building/structures, borrow pits, staging area, new access for roads/utility lines.
- ☐ A description of the existing environment without the project including:
 - ☐ The current use(s) of the project area and immediate vicinity
 - ☐ The current habitat of the project area and immediate vicinity
 - ☐ If farmland is going to be converted to non-farmland, please provide answers to the following:
 - ☐ What is the size of the farm unit(s) containing the project area?
 - ☐ How much of the project area has been farmed (managed for a scheduled harvest or timber activity) more than 5 of the last 10 years?
 - ☐ How much of the project area will be converted from agricultural use as a result of the proposed project?
- ☐ Photos of the project site showing current use and habitat (digital files are preferred)
- ☐ A description of the expected future environment without the project if it is expected to change from the existing environment.
- ☐ A short discussion of other feasible options (alternative locations, techniques, methods, or capacities considered) and the rationale used to select the proposed project over these other options.
- ☐ Contact information for the property landowner if an archeological survey becomes necessary.
- ☐ A listing of any expected impacts to the environment, if known, and a listing of any planned steps to minimize adverse effect.

Exhibit 6
Iowa Department of Natural Resources
Wastewater Construction Section
Public Notice Example

PUBLIC HEARING NOTICE

The City of Iowaville will be holding a Public Hearing to review an application for a State Revolving Fund (SRF) loan from the Iowa Department of Natural Resources, and to make available to the public the contents of an environmental information document and the City's Facility Plan. These documents include design and environmental information related to the proposed improvements to the City's wastewater treatment system.

The proposed project involves the abandonment of the existing mechanical treatment plant and converting an existing flow equalization basin to an aerated lagoon system.

The purpose of this Public Hearing is to inform area residents of the community of Iowaville of this proposed action, discuss the actual cost and user fees associated with this project, and to address citizen's concerns, if any, with the plan.

The Public Hearing location and time are as follows:

September 25, 2005 – 7:30 p.m.
Iowaville City Hall
1102 Main Street
Iowaville, Iowa 50000

All interested persons are encouraged to attend this hearing. Written comments on this proposal may also be submitted prior to the hearing. Questions regarding this hearing or the availability of documentation may be directed to the City Clerk's Office at 515-352-3065.

Exhibit 7
Iowa Department of Natural Resources
Wastewater Construction Section
Public Hearing Checklist

A public hearing must be held locally if the Clean Water State Revolving Fund will be used for financing the project. A local hearing is not a requirement for non-SRF projects. The hearing must be held as part of the local acceptance of the facility plan prior to submittal to the DNR.

- ☐ Adequate public notification provided to the media and all interested parties at least 30 days prior to the hearing. The purpose of the public hearing must be identified in the notification.
- ☐ Reports, documents and data relevant to the discussion at the public hearing shall be available at the project central depository for public review generally not less than 30 days before the public hearing.
- ☐ Hearings must be held at convenient times and places.
- ☐ Alternative strategies, environmental impacts, and institutional arrangements including user charge estimates should be discussed.
- ☐ All interested parties should be allowed adequate time to present their views. A question and answer period is recommended.
- ☐ The municipality shall prepare a transcript, recording or other complete record of the hearing and make it available for public review.
- ☐ A responsiveness summary (summary of public comments) and proof of publication must be submitted to the Environmental Review Services Coordinator.



Project No:	_____
Date Received:	_____
SRF Tracking Number:	_____
Location:	_____

Exhibit 8
Iowa Department of Natural Resources
APPLICATION FOR INCLUSION ON PROJECT PRIORITY LIST
CLEAN WATER STATE REVOLVING FUND INTENDED USE PLAN (IUP)

This form may be used to apply for inclusion on the project priority list of CWSRF IUP at the time the Facility Plan must be submitted. IUPs are developed on an annual basis with quarterly updates as needed. **This form is not an application for a loan.** CWSRF loan application materials may be obtained from the Iowa Finance Authority (800-432-7230, e-mail lori.beary@iowa.gov or at www.iowafinanceauthority.gov).

Instructions:

Complete the requested information in the following sections to the best of your ability. Please print or type the information on the form. If a particular item does not apply to your system, enter n/a for "not applicable." Attach supporting documentation as needed. Keep a copy of the completed application for your records, submit a copy to your engineer, and submit the original signed form to the following address:

Gabe Lee, P.E.
Wastewater Construction Section
Iowa Department of Natural Resources
502 East Ninth Street
Des Moines, Iowa 50319

Section 1: Applicant Information

Applicant Name:	
Applicant Address:	
Authorized Representative:	
Signature:	
Title:	
Telephone Number:	
E-mail:	
Consulting Engineer:	
Firm:	
Telephone Number:	
E-mail:	
NPDES Facility No.:	_____

Section 2: Proposed Project Schedule

Expected facility plan approval date:	
Preliminary plan and specification submittal date:	
Final plan and specification submittal date:	
Construction Initiation Date:	
Date you Intend to Sign a Loan Agreement:	

Section 3: Brief Project Summary (Attach additional pages if necessary.)

Describe the reasons or the needs for the proposed project: (i.e. specific water quality problem or system improvement)	
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	
Describe the scope of the proposed project: (i.e., specific solution to the water quality problem, or proposed system improvement)	
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	
Which other funding programs are you considering to assist in completion of this project?	Check all that apply: <input type="checkbox"/> Community Development Block Grant (CDBG) <input type="checkbox"/> Rural Development Grant and/or Loan <input type="checkbox"/> Reserve Funds <input type="checkbox"/> Other: _____
Compliance Status	<input type="checkbox"/> Has been referred to the Iowa Attorney General <input type="checkbox"/> Has received administrative order from DNR <input type="checkbox"/> Under compliance schedule in the NPDES permit

Section 4: Project Cost

Cost Category	Total Estimated Project Costs	Costs to be Covered from Other Funds	Allowable Loan Costs
Administrative Expenses			
Legal Expenses			
Land and Easements			
Relocation Expenses			
Engineering Planning Fees			
Engineering Design Fees			
Engineering Construction Fees			
Construction			
Equipment			
Interest During Construction			
Miscellaneous			
Contingencies			
PROJECT SUBTOTAL			
Planning and design costs to be rolled into construction loan			
LOAN SUBTOTAL			
Loan Initiation Fee (Loan Subtotal x .01)			
TOTAL IUP REQUEST	=		

Supporting materials may be requested to document funding requests and system needs.

Please include the following items with your application:

☐ Three official copies of the Facility Plan.

☐ Iowa Construction Permit Application Schedules A, F and G.

Exhibit 9
Iowa Department of Natural Resources
Wastewater Construction Section
Preliminary Review of Facility Plan

All Projects

1. _____ Has an alternative and project location been proposed by the engineer and accepted by the Owner in accordance with Design Standard 11.2.2?
2. _____ Have completed and signed Design Schedules A, F and G been submitted for new or expanded wastewater treatment facilities?
3. _____ Are the hydraulic and organic design loadings in the Facility Plan and Design Schedule G consistent with the preliminary design loadings determination?
4. _____ Has the project conformed to the Waste Load Allocation (WLA) determination previously provided by the DNR?
5. _____ Are location maps prepared in accordance with Design Schedule F and adequate to conduct a site survey investigation for the proposed new or expanded wastewater treatment facilities?
6. _____ Has the Owner filed an application for a new or amended NPDES permit for the improvements described in the Facility Plan?
7. _____ Have project schedules been provided?

Clean Water State Revolving Fund (CWSRF) Loan Projects

1. _____ *Is the proposed project a fundable category (Refer to Subrule 567 IAC 92.7(9)) for receipt of a CWSRF loan?*
2. _____ *Has the Facility Plan submittal been approved by the Owner?*
3. _____ *Is the Intended Use Plan application (Exhibit 8) enclosed with the Facility Plan?*
4. _____ *Is the Property/Easement Acquisition Schedule included?*
5. _____ *Is the completed "Assurance with Respect to Real Property Acquisition of Title III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as Amended" Form (Exhibit 9A) included?*
6. _____ *Is the public hearing responsiveness summary and proof of publication for notice included?*

Exhibit 9A
U.S. ENVIRONMENTAL PROTECTION AGENCY

ASSURANCE WITH RESPECT TO REAL PROPERTY ACQUISITION
OF TITLE III OF THE UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY
ACQUISITION POLICIES ACT OF 1970 AS AMENDED

The _____ (Applicant) hereby assures that it has authority under applicable State and local law to comply with Section 213 of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, Public Law 91-646, 84 Stat. 1894 (42 U.S.C. 4601) as amended by the Surface Transportation and Uniform Relocation Assistance Act of 1987, Title IV of Public Law 100-17, 101 Stat. 246-256 (42 U.S.C. 4601 note) and 49 CFR 1.48(cc); and certifies, assures and agrees that, notwithstanding any other provision set forth in the application.

1. For projects resulting in the displacement of any person:

a. It will adequately inform the public of the relocation payments and services which will be available as set forth in Subparts A, C, D and E of 49 CFR 24.

b. It will provide fair and reasonable relocation payments to displaced persons as required by Subparts D and E of 49 CFR 24.

c. It will provide a relocation assistance program for displaced persons offering services described in Subpart C of 49 CFR 24.

d. Comparable replacement dwellings will be available pursuant to Subpart F of 49 CFR 24, or provided if necessary, a reasonable period in advance of the time any person is displaced.

e. In acquiring real property, it will provide at least 90 days written notice to each lawful occupant of real property acquired, stating the date such occupant is required to move from a dwelling or to move his business or farm operation.

2. For projects resulting in the acquisition of real property:

a. It will fully comply with the requirements of Subpart B of 49 CFR 24.

b. It will adequately inform the public of the acquisition policies, requirements and payments which apply to the project.

c. It will make every effort to acquire real property expeditiously through negotiation.

d. Before the initiation of negotiations it will have the real property appraised and give the owner or his representative an opportunity to accompany the appraiser during inspection of the property, except as provided in 49 CFR 24.102(c)(2).

e. Before the initiation of negotiations it will establish an amount which it believes to be just compensation for the real property, and make a prompt offer to acquire the property for that amount; and at the same time it will provide the owner a written statement of the basis for such amount in accordance with 49 CFR 24.102.

f. Before requiring any owner to surrender possession of real property it will pay the agreed purchase price; or deposit with the court, for the benefit of the owner, an amount not less than the approved appraisal of the fair market value of the property; or pay the amount of the award of compensation in a condemnation proceeding for the property.

g. If interest in real property is to be acquired by exercise of the power of eminent domain, it will institute formal condemnation proceedings and not intentionally make it necessary for an owner to institute legal proceedings to prove the fact of the taking of this real property; and

h. It will offer to acquire the entire property, if acquisition of only part of a property would leave its owner with an uneconomic remnant.

References to 49 CFR are citations to Title 49, Code of Federal Regulations, Part 24, published in the Federal Register Vol. 54, No. 40, March 2, 1989.

This document is hereby made part of and incorporated in any contract or agreement, or any supplements and amendments thereto, relating to the above-identified application and shall be deemed to supersede any provision therein to the extent that such provisions conflict with the assurances or agreements provided therein.

(Legal Name of Applicant)

By _____
(Signature of Authorized Representative)

(Date)

March 30, 2004

Exhibit 10A
Iowa Department of Natural Resources
Wastewater Construction Section
**60 PERCENT PRELIMINARY PLAN AND SPECIFICATION
SUBMITTAL and REVIEW CHECKLIST
FOR MAJOR GRAVITY SEWERS AND SEWER FORCE MAINS**

1. _____ Refer to Chapter 11 of the Iowa Wastewater Facilities Design Standards for submittal criteria, especially Sections 11.3 and 11.4
2. _____ Are deviations (if any) from the project approved in the facility plan and approved design criteria noted? Has there been a change in project routing from the location in the approved facility plan? Will any variances from the design standards be required that have not already been approved?
3. _____ Submit applicable Construction Permit Application Schedules. This could include Design Schedules A, B, C, D and E.
4. _____ Design Memorandum (if available)
5. _____ Geotechnical Report (if available)
6. _____ One set of Plan Drawings (half size or full size)
 - ☐ Title Sheet
 - ☐ Legend Sheet
 - ☐ Vicinity Map
 - ☐ Plan and Profile Sheets
 - ☐ Street Names
 - ☐ Ground Profile
 - ☐ Elevation, Grade, Slope, Length and Size of Sewers
 - ☐ Manhole locations and numbering system
 - ☐ Utilities
 - ☐ Streams
 - ☐ Manholes and Structural Details
 - ☐ Location of Special Features

Exhibit 10B
Iowa Department of Natural Resources
Wastewater Construction Section
**60 PERCENT PRELIMINARY PLAN AND SPECIFICATION
SUBMITTAL AND REVIEW CHECKLIST
FOR MAJOR WASTEWATER PUMPING STATIONS**

1. _____ Refer to Chapter 11 of the Iowa Wastewater Facilities Design Standards for submittal criteria, especially Sections 11.3 and 11.4
2. _____ Are deviations (if any) from the project approved in the facilities plan and approved design criteria noted? Has there been a change in project site from the location in the approved facilities plan? Will any variances from the design standards be required that have not already been approved?
3. _____ Submit applicable Construction Permit Application Schedules, including copies of completed Design Schedules A, B and E
4. _____ Design Memorandum, including Emergency Operation
5. _____ Geotechnical Report (if available)
6. _____ One set of Plan Drawings (half size or full size)
 - ☐ Title Sheet
 - ☐ Legend Sheet
 - ☐ Vicinity Map
 - ☐ Site Plan
 - ☐ Topography
 - ☐ Property Lines/Boundary Lines
 - ☐ 100 Year and 25 Year Flood elevations if applicable
 - ☐ Structural Drawings
 - ☐ Architectural Drawings
 - ☐ Pumping Station Drawings (Existing and Proposed)
 - ☐ Unit Sizes
 - ☐ Piping, Valves and Force Main
 - ☐ Valve Chamber
7. _____ Technical Specifications for Major Process Equipment

Exhibit 10C
Iowa Department of Natural Resources
Wastewater Construction Section
**60 PERCENT PRELIMINARY PLAN AND SPECIFICATION
SUBMITTAL AND REVIEW CHECKLIST
FOR WASTEWATER TREATMENT FACILITIES**

1. _____ Refer to Chapter 11 of the Iowa Wastewater Facilities Design Standards for submittal criteria, especially Sections 11.3 and 11.4
2. _____ Are deviations (if any) from the project approved in the facilities plan and approved design criteria noted? Has there been a change in the project site from the site approved in the facilities plan? Will any variances from the design standards be required that have not already been approved?
3. _____ Submit applicable Construction Permit Application Schedules, including copies of completed Design Schedules A, F and G.
4. _____ Design Memorandum, including Facility, Unit Process and Power Source Reliability Classifications
5. _____ Geotechnical Report (required for lagoons)
6. _____ One set of Plan Drawings (half size or full size)

- ☐ Title Sheet
- ☐ Legend Sheet
- ☐ Vicinity Map
- ☐ Site Plan with Process Piping
 - ☐ Topography
 - ☐ Unit Process and Building Locations (Existing and Proposed)
 - ☐ Property Lines/Boundary Lines/Borrow Areas
 - ☐ 100 Year and 25 Year Flood elevations if applicable
 - ☐ Area for Future Expansion
- ☐ Hydraulic Profile/Schematic Flow Diagram
 - ☐ Minimum, average, and peak hydraulic profiles
 - ☐ Flow of sewage, supernatant liquor and sludge
- ☐ Structural Drawings
- ☐ Architectural Drawings
- ☐ Process Drawings and Piping
 - ☐ Unit Sizes
 - ☐ Location

7. _____ Technical Specifications for Major Process Equipment

Exhibit 11A
Iowa Department of Natural Resources Wastewater Construction Section
Construction Permit Application
SCHEDULE A, General Information

APPLICANT		ENGINEER	
OWNER		FIRM	
ADDRESS		ADDRESS	
REPRESENTATIVE	TELEPHONE	PROJECT OFFICER	TELEPHONE
PROJECT IDENTIFICATION		ESTIMATED START DATE *	ESTIMATED COMPLETION DATE

PLEASE RESPOND TO ALL QUESTIONS			YES	NO
1. Has an engineering report, facilities plan or other information previously been submitted for this project? If Yes=> PROJECT IDENTITY _____ DATE SUBMITTED _____			<input type="checkbox"/>	<input type="checkbox"/>
2. Does the project and construction permit application, as submitted, follow the recommendations, design loadings, construction schedule, permit limits, and conclusions of the approved engineering report or facilities plan? If No=> Provide the design basis and technical information justifying all changes.			<input type="checkbox"/>	<input type="checkbox"/>
3. Are there three complete sets of plans and specifications accompanying this application? For a minor gravity sewer extension within the meaning of 455B.183.3 Code of Iowa and Design Standard 11.1, two complete sets will be adequate for expeditious approval. For more complex projects, three sets of plans and specifications may be requested.			<input type="checkbox"/>	<input type="checkbox"/>
4. Are approved standard specifications a part of this application? If Yes=> APPROVED STANDARD SPECIFICATIONS OF (municipality or firm) _____ DATE APPROVED _____			<input type="checkbox"/>	<input type="checkbox"/>
5. Does each set of plans and specifications or engineering report accompanying this application contain a "professional engineering seal" executed in conformance with 542B.16, Code of Iowa? If No=> Processing will be delayed pending receipt of applicable design schedules and certified plans, specifications or engineering report.			<input type="checkbox"/>	<input type="checkbox"/>
6. Is this a joint wastewater and water supply project? If Yes=> A construction permit application for the water supply project should be submitted separately to the Water Supply Section. A water supply permit fee may be required.			<input type="checkbox"/>	<input type="checkbox"/>
7. Is the applicant to provide treatment of effluent resulting from this construction? If No=> A Sewage Treatment Agreement (DNR Form 29) executed by the authority providing treatment must accompany this application.			<input type="checkbox"/>	<input type="checkbox"/>
8. Is a new or amended operation permit necessary to use the facilities described in this application? If Yes=> A new or amended permit to operate may be requested prior to the receipt of a construction permit.			<input type="checkbox"/>	<input type="checkbox"/>
9. Is any waterline located within 10 feet; or any private or public well, lake, or public recreation area located within 400 feet of the proposed construction? If Yes=> Identify and locate the facility(s) relative to the proposed construction.			<input type="checkbox"/>	<input type="checkbox"/>
10. Will construction inspection be conducted by a licensed engineer employed by the applicant? If No=> NAME OF ENGINEERING FIRM CONDUCTING INSPECTION _____			<input type="checkbox"/>	<input type="checkbox"/>
11. Will this project utilize CWSRF loan funds?			<input type="checkbox"/>	<input type="checkbox"/>

CERTIFICATION	
<p style="text-align: center;">APPLICANT</p> <p>I certify that I am the authorized representative of the owner and state that the project identified above is approved by the owner.</p>	<p style="text-align: center;">ENGINEER</p> <p>I certify that all aspects of design included in this application conform to applicable standards contained in Chapter 567 IAC 64, or that an explanation and justification for any proposed variations from such standards is attached. I am familiar with the information contained in this application, and to the best of my knowledge, such information is complete and accurate.</p>
SIGNATURE _____ DATE _____	SIGNATURE _____ DATE _____

* Estimated Construction Start Date: Complete applications must be submitted at least 120 days in advance of the date for starting construction in accordance with Rules 567 IAC 60.4 and 64.2

PLEASE COMPLETE THE SCHEDULE CHECKLIST ON THE FOLLOWING PAGE OF THIS FORM

Construction Permit Application
SCHEDULE A, General Information, page 2

DOCUMENT CHECKLIST

Identify all categories included in this project. Also, identify schedules attached to this application.

SCHEDULE	TITLE	ATTACHED	INCLUDED IN PROJECT	SUBMITTAL DATE
B	Collection system	<input type="checkbox"/>	<input type="checkbox"/>	_____
C	Lateral Sewer Extension	<input type="checkbox"/>	<input type="checkbox"/>	_____
D	Trunk & Interceptor Sewer	<input type="checkbox"/>	<input type="checkbox"/>	_____
E	Wastewater Pump Station	<input type="checkbox"/>	<input type="checkbox"/>	_____
F	Treatment Project Site Selection	<input type="checkbox"/>	<input type="checkbox"/>	_____
G	Treatment Project Design Data	<input type="checkbox"/>	<input type="checkbox"/>	_____
H1	Schematic Flow Diagram	<input type="checkbox"/>	<input type="checkbox"/>	_____
H2	Treatment Process Loading and Removal Efficiency	<input type="checkbox"/>	<input type="checkbox"/>	_____
H3	Mechanical Plant Reliability	<input type="checkbox"/>	<input type="checkbox"/>	_____
I	Screening, Grit Removal and Flow Measurement	<input type="checkbox"/>	<input type="checkbox"/>	_____
J	Septic Tank System	<input type="checkbox"/>	<input type="checkbox"/>	_____
K1	Controlled Discharge Pond	<input type="checkbox"/>	<input type="checkbox"/>	_____
K2	Aerated Pond	<input type="checkbox"/>	<input type="checkbox"/>	_____
K3	Anaerobic Lagoon	<input type="checkbox"/>	<input type="checkbox"/>	_____
L	Setting Tanks	<input type="checkbox"/>	<input type="checkbox"/>	_____
M	Fixed Film Reactor – Stationary Media	<input type="checkbox"/>	<input type="checkbox"/>	_____
N	Rotating Biological Contactor	<input type="checkbox"/>	<input type="checkbox"/>	_____
O	Aeration Tanks or Basins	<input type="checkbox"/>	<input type="checkbox"/>	_____
P	Gas Chlorination	<input type="checkbox"/>	<input type="checkbox"/>	_____
Q	Sludge Digestion and Holding	<input type="checkbox"/>	<input type="checkbox"/>	_____
R1	Sludge Dewatering and Disposal	<input type="checkbox"/>	<input type="checkbox"/>	_____
R2(A & B)	Low Rate Land Application of Sludge	<input type="checkbox"/>	<input type="checkbox"/>	_____
R3	Land Application of Sewage Sludge (To be developed)	<input type="checkbox"/>	<input type="checkbox"/>	_____
S	Land Application of Wastewater (To be developed)	<input type="checkbox"/>	<input type="checkbox"/>	_____
	Sewage Treatment Agreement	<input type="checkbox"/>	<input type="checkbox"/>	_____

Identify any categories included in this project which are not provided in the above list of schedules.

Exhibit 11B
Iowa Department of Natural Resources Wastewater Construction Section
Construction Permit Application
SCHEDULE F, Treatment Project Site Selection

DATE PREPARED	PROJECT IDENTITY	DNR USE
DATE REVISED		PROJECT NO.
		PERMIT NO.

1. Project Location: County _____ Section _____ Township _____ Range _____
Is this a new site? _____ Existing site? _____ or Expansion of existing site? _____

2. Provide the following as attachments (minimum of three each needed):
(a) General plat layout of area within a five mile radius of the project, noting all important features.
(U.S.G.S. map may be used).
(b) Site layout of area within a 1,500 foot radius of the project with a scale of approximately 1 inch equal to 200 feet, noting project and all features listed in Subrule 567 IAC 64.2(3): inhabitable residences, commercial buildings, inhabitable structures, public shallow wells, public deep wells, private wells, lakes and public impoundments, property lines and rights-of-way, etc.

3. Does the project lie in a floodplain? Yes ☐ No ☐
Elevation of 100 year flood (MSL) _____ Elevation of 25 year flood (MSL) _____
Will the treatment works structures, including the electrical and mechanical equipment, be protected from physical damage by the 100-year flood? Yes ☐ No ☐
Will the plant remain operational during the 25-year flood? Yes ☐ No ☐
Method of flood protection _____

4. Minimum distance to high water table _____

5. Describe geology of area _____

6. Describe soil conditions _____

7. State the minimum distances and direction to:
(a) Public shallow wells _____ (b) Public deep wells _____
(c) Private wells _____
(d) Inhabitable residences, commercial buildings, or other inhabitable structures _____
(e) Lakes and public impoundments _____
(f) Property lines and rights-of-way _____ (g) Other _____

8. Direction of the prevailing winds _____

9. Sulfate content of the raw water supply source _____ mg/l. Identify source _____

10. Is this area available for expansion? Yes ☐ No ☐ If yes, how much? _____
Location of area _____ Identify owner of property _____

11. Will site be accessible via an all weather access road? Yes ☐ No ☐ Type _____

12. Source of STP water supply:
Maintenance/Cleanup _____ Potable? Yes ☐ No ☐
Laboratory/Sanitary _____ Potable? Yes ☐ No ☐
_____ Potable? Yes ☐ No ☐

13. Receiving Stream _____ tributary to _____
7-day 10-year Low Flow _____ cfs. Source of stream flow data _____
Drainage area above site _____ square miles
Is stream _____ intermittent _____ continuous flow (perennial) _____
Describe use designation of receiving stream _____

Instructions for Schedule F

1. Identify the project and location.
2. Important features which include public shallow wells, public deep wells, private wells, inhabitable residences, commercial buildings, or other inhabitable structures, lakes, public impoundments, and other public use or recreation areas, property lines, and rights-of-way, and any other feature affected by the water quality shall be included on the 1500 foot radius site layout.
3. Completely describe any adverse impact on the treatment facility caused by high water.
4. Indicate minimum distance to typical wet weather groundwater level.
5. Self-explanatory.
6. Self-explanatory.
7. See subrule 567 IAC 64.2(3) of the Iowa Administrative Code for the required separation distances. When the separation distances in the referenced subrule cannot be maintained for the expansion, upgrading or replacement of existing facilities, the separation distances shall be maintained at no less than 90 percent of the existing separation distance on the site, providing no data is available indicating that a problem has existed or will be created. If requesting the 90 percent exception, the proposed separation distance from each potentially affected item or structure shall be identified on Schedule F or an attachment to the form.
8. Self-explanatory.
9. Self-explanatory.
10. Self-explanatory.
11. Self-explanatory.
12. Self-explanatory.
13. Self-explanatory.

NOTE: Complete a separate Schedule F for each separate project site.

Exhibit 11C
Iowa Department of Natural Resources Wastewater Construction Section
Construction Permit Application
SCHEDULE G, Treatment Project Design Data

DATE PREPARED		PROJECT IDENTITY						DNR USE			
DATE REVISED								PROJECT NO.			
								PERMIT NO.			
1. Project Description											
2. Design Flows		Present Year ()			Design Year ()						
Design Condition →		AWW (MGD)		MWW (MGD)		AWW (MGD)		MWW (MGD)			
Domestic/Commercial Flow											
Industrial											
Flow											
Rated Flow											
Other Flow (specify)											
Infiltration/Inflow											
Total											
Flow											
Rated Flow											
Average Dry Weather Flow (ADW): _____ MGD (present year) _____ MGD (design year)		Peak Hourly Wet Weather Flow (PHWW): _____ MGD (present year) _____ MGD (design year)				Demographic Data: Population _____ (present year) Population _____ (design year)					
3. Organic Design Loadings		Present Year ()			Design Year ()						
Design Condition →		Max. 30 day (#/day)		Max. Day (#/day)		Max. 30 day (#/day)		Max. Day (#/day)			
Domestic/Commercial	BOD ₅										
	TSS										
	TKN										
Industrial	BOD ₅										
	TSS										
	TKN										
Other (Specify)	BOD ₅										
	TSS										
	TKN										
Total	BOD ₅										
	TSS										
	TKN										
4. Effluent Limitations		BOD ₅		TSS		NH ₃ -N (most stringent month)		Other		Other	
		Avg	Max	Avg	Max	Avg	Max	Avg	Max	Avg	Max
Operation Permit Effluent Limits*	mg/l										
	#/day										
*Date of Waste Load Allocation (WLA) determination:											
5. Major Industrial/Commercial contributors or Significant Industrial User:											
Waste Contributors	Pre-Treat (Y/N)	Operation		Design Loadings							
		Hrs/Day	Days/Week	Flow		BOD ₅ #/day	Susp. Solids #/day	TKN #/day	Oil & Grease #/day	#/day	
				Ave. MGD	Max. MGD						

Instructions for Schedule G

1. **Project Description:** Explain the nature of the project in a concise statement.
2. **Design Year:** The design year shall be established in accordance with Section 14.4.4.1 of the Iowa Wastewater Facilities Design Standards.

Domestic/Commercial: Includes waste volumes generated from residential, out of town students, and commercial contributors.

Industrial: Includes waste volumes generated from industrial contributors.

Other: If applicable, includes waste volumes generated from any other contributors such as: large commercial establishments, correctional institutions, hospitals, large restaurants, shopping centers, truck stops, or any other facility not covered under previous items. The design information for these facilities shall be given in Item 5.

Infiltration: Includes water other than wastewater that enters the sanitary sewer system from the ground through defective pipe, pipe joints, and manholes.

Inflow: Includes water other than wastewater that enters a sanitary sewer system from sources such as roof drains, foundation drains, yard drains, manhole covers, cross connections between storm sewers and sanitary sewers, catch basins, storm water runoff and other drainage structures.

Average Dry Weather (ADW) Flow: The daily average flow when the groundwater is at or near normal and runoff is not occurring. The period of measurement and reporting for this flow should extend for up to 30 days.

Average Wet Weather (AWW) Flow: The daily average flow for the wettest thirty (30) consecutive days for mechanical plants or the wettest 180 consecutive days for controlled discharge lagoons. The respective wettest consecutive (30 and 180) day flows may or may not coincide with precipitation events.

The design of new wastewater systems to serve new collection systems shall be based on an average wet weather flow of 100 gallons per capita per day for residential and commercial flow. If applicable, add 20 gallons per capita per day for out-of-town students + industrial flows + large commercial operations.

Maximum Wet Weather (MWW) Flow: The total maximum flow received during any 24 hour period. The MWW flow may or may not coincide with precipitation events. This column is not applicable to controlled discharge pond facilities.

Peak Hourly Wet Weather (PHWW) Flow: The total maximum flow received during one hour of the day when the groundwater is high, runoff is occurring, and domestic, commercial, and industrial flows are at their peak. The domestic and commercial peak hour flow shall be based on actual monitoring or the use of peaking factor determined by the use of Appendix I, Chapter 12 of the Iowa Wastewater Facilities Design Standards.

The PHWW flow shall be used to evaluate the effect of hydraulic peaks on the design of pumps, piping, clarifiers, and any other flow sensitive aspects.

Rated Flow: Flows from industrial and commercial sources may vary significantly during a day, a week, or 30-days due to production patterns. In designing a facility, the flow rate which occurs during the time period of discharge must be considered. This flow rate is defined as rated flow. The purpose of the rated flows is to use them in designing mechanical plants so that they are capable of handling the higher flows during the period of discharge.

Rated Flow (AWW): For mechanical plants, if the industrial contribution varies from week to week during a month, the design flow should be based on the average flow on the days when the industry is operating. This is reported as rated AWW flow. For example, if the industry operates 20 days of the 30-day month and has an average discharge of 100,000 gallons per day in a 30-day period, the rated AWW flow is 150,000 gallons per day. The design of mechanical plants must be based on the total rated flow.

Rated Flow (MWW): For mechanical plants, if the industrial contribution varies from day to day during a week, the design flow should be based on the average flow on the peak day during the period when the industry is operating. This is reported as rated MWW flow. For example, if the industry discharges of 10,000 gallons over eight hours of the twenty-four hours, the rated MWW flow is 30,000 gallons per day. The design of mechanical plants must be based on the total rated flow.

For Controlled Discharge Ponds: If the industrial contribution varies from day to day during a week, the design condition may be based on a weekly average. Rated AWW flow and rated MWW flow are not applicable to this method of treatment.

3. **Organic Design Loadings:** When an existing treatment works is to be upgraded or expanded, the organic design (BOD₅, TSS, and TKN) shall be based upon the actual strength of wastewater as determined from actual measurements with an increment for growth. This growth increment shall be based on the design criteria for new systems stated below or based on the analysis of available monitoring data. The industrial loadings shall be in accordance with Section 14.4.6.2 of the Iowa Wastewater Facilities Design Standards.

Max. 30-day: The highest average organic loading received in a 30-day period.

Max. Day: The highest daily organic loading received during a 24-hour day.

Domestic waste treatment design to serve new collection systems shall be based on the basis of at least 0.17 pounds of BOD₅ per capita per day, 0.20 pounds of TSS (total suspended solids) per capita per day. Although not specified in the Design Standards, design TKN loading should be included in Schedule G. TKN loading criteria for domestic wastewater can be found in references such as Wastewater Treatment and Reuse, Metcalf & Eddy, 4th Edition; and Table 2, Recommended Standards for Wastewater Facilities, 2004 Edition.

When garbage grinders are used in areas tributary to a domestic plant, the design basis should be increased to 0.22 pounds of BOD₅ per day and 0.25 pounds of suspended solids per capita per day. Use references previously listed for TKN loading.

4. **Effluent Limitations:** Specify the effluent limitations that are issued by the Department in accordance with Section 14.3 of the Iowa Wastewater Facilities Design Standards. Specify the date of the most recent Waste Load Allocation (WLA) prepared by the Department. Please bear in mind that the NPDES Permit limits could be different from those in the WLA in certain cases. The NPDES Permit shall determine the final effluent limits that the facility is expected to meet.

NH3-N (most stringent month): List the most stringent numerical concentration and mass limit for a month listed in the WLA or NPDES permit (if water quality based limits apply to the treatment facility).

Other: List any other parameter limitations listed in the WLA or the NPDES permit (e.g. heavy metals).

5. **Major Industrial Commercial Contributors**: Provide design information for all major industrial/commercial contributors in accordance with Subrule 567 IAC 60.2 (455B). Do not list production flows and loadings in this Section. List only the flows and loadings that will be received by and treated by the proposed wastewater treatment works under consideration. A “major industrial/commercial contributor” is a user of a treatment works that:
- Has a flow of 50,000 gallons or more per average workday.
 - Has a flow greater than 5% of the flow or organic loading carried by the treatment works receiving the waste.
 - Has in its waste a toxic pollutant in toxic amounts as defined in Standards and adopted by reference in Subrule 567 IAC 62.5 (455B).
 - Is found by the Department in connection with the issuance of the NPDES Permit to have a significant impact, either singly or in combination with other contributing industries, on that treatment works or upon the quality of the effluent from that treatment works.

Significant Industrial User: Provide design information for all significant industrial users in accordance with Federal Effluent and Pretreatment Standards as referenced in Subrule 567 IAC 62.4(3) (455B). Significant industrial user means:

- All industrial users subject to Categorical Pretreatment Standards under 40 CFR 403.6 and 40 CFR Chapter I, subchapter N; and
- Any other industrial user that discharges an average of 25,000 gallons per day or more of process wastewater to the POTW (excluding sanitary, non-contact cooling and boiler blowdown wastewater); contributes a process wastestream which makes up 5 percent or more of the average dry weather hydraulic or organic capacity of the POTW treatment plant; or is designated as such by the Control Authority as defined in 40 CFR 403.12(a) on the basis that the industrial user has a reasonable potential for adversely affecting the POTW’s operation or for violating and pretreatment standard or requirement (in accordance with 40 CFR 403.8(f)(6)).

Specify any other major parameters present in the waste contribution. If pretreatment is provided, answer “Y” for Yes in the second column; if pretreatment is not provided, answer “N” for No. Note that operation time includes time allocated to clean-up. For mechanical plants, if the industry’s contribution varies from day to day during a week, the design loading should be based on a maximum day when the industry is operating and the industrial flows must be rated in accordance with the time period of discharge of such flows in arriving at the total rated flow.

Refer to DNR Form 31 – Operating Permit Application - Treatment Agreement that can be found at <http://www.iowadnr.com/water/npdes/forms/form31a.pdf>.

Average Flow: Represents the maximum 30-day average likely to occur in any year. Days when no discharge occurs should not be included in the average.

Maximum Flow: is the maximum single-day contribution during a peak period of operation.

List of References:

1. Iowa DNR Wastewater Facilities Design Standards.
2. Recommended Standards for Wastewater Facilities, Great Lakes-Upper Mississippi River Board of State and Provincial Public Health and Environmental Managers, 2004 Edition.
3. Design of Municipal Wastewater Treatment Plants, WEF Manual of Practice 8.
4. Wastewater Engineering Treatment and Reuse, Metcalf & Eddy 4th Edition.
5. Gravity Sewer Design and Construction, Chapter 2 - Quantity of Wastewater, WEF Manual of Practice No. FD-5.
6. Existing Sewer Evaluation and Rehabilitation, WEF Manual of Practice FD-6.
7. Historical rainfall information available from the State Climatologist at <http://mesonet.agron.iastate.edu/climodat/index.phtml>.

Things to Consider - Design Flows and Organic Loading Determination:

1. Have a rational basis and list the basis in the design flow and loading calculation submittal.
2. Include previous bypassing flows when estimating present year and design year flows.
3. Consider the reliability of operating records and degree of accuracy of flow monitors and data.
4. Use daily and monthly monitoring reports from the facility.
5. Compare water use records where appropriate and identify correlations.
6. Consider installation of continuous flow monitoring and recording equipment where appropriate (lift stations, influent channels, etc.) to determine peak hour flows.
7. Consider additional flow monitoring after installation of new equipment.
8. Consider several years of reported data when calculating design flows.
9. Use the actual facility monitoring data to calculate design flow and loadings as much as possible.
10. Careful consideration of drought years when estimating design flows.
11. Infiltration/inflow reduction cannot be suggested without valid data to support the assumptions.
12. Elimination of inflow sources cannot be assumed to reduce infiltration.
13. Design flows lower than the monitoring and reported data cannot be suggested without documented evidence and a valid explanation.

Contact: Please contact Satya Chennupati, P.E. at 515-281-8995 or satya.chennupati@dnr.state.ia.us if you have any questions or comments regarding Schedule G or the instructions.

Exhibit 12
Iowa Department of Natural Resources
Wastewater Construction Section
Clean Water State Revolving Fund
Front-End Specification Assurance Checklist

Project Identification _____

CWSRF Project No. _____

DNR Project Manager _____

Date _____

**Specification
Section-Page
Number**

Included Specification Item

Federal Requirements

_____ Nondiscrimination in Advertising (E.O. 11246)

_____ Suspension and Debarment Statement

_____ Certification regarding Debarment, Suspension and Other Responsibility Matters

_____ EEO Executive Order 11246 Specifications

_____ EEO Executive Order 11246 Notice with Appendices A and B-80

_____ EEO Certification of Non-segregated Facilities

_____ Procedures for Implementation of 40 CFR 35.3145(d) and Section 129 of P.L. 100-590

_____ MBE Utilization Worksheet and Statement of Requirement

_____ Civil Rights Contract Provisions

_____ Executive Order 12898 to address Environmental Justice

_____ State Inspection and IDNR Right of Entry

_____ Historical and Archeological

_____ Special Design Considerations (40 CFR Part 7)

_____ Violating Facilities List

_____ Access to and Retention of Records

_____ Clean Air Act

_____ Special Paragraphs Included (Differing Site Conditions, etc)

Code of Iowa Requirements

- _____ Bid Advertising Time (Code of Iowa 362.3 & 384.96)
- _____ Award of Contract – Lowest Responsible Bidder (Code of Iowa 384.99)
- _____ Bid Bond 5% to 10% (Code of Iowa 384.98)
- _____ Performance Bond (Code of Iowa 573.2 to 573.5)
- _____ Definite Completion Time

EXHIBIT 12 ATTACHMENTS

Attachment 1:	Certification of Non-Segregated Facilities Form
Attachment 2:	Certification Regarding Debarment and Suspension Form
Attachment 3:	MBE/WBE/SBRA Solicitation Form
Attachment 4:	Civil Rights Contract Provisions
Attachment 5:	Code of Iowa Requirements in Front-End Specifications
Attachment 6:	Standard Federal Equal Employment Opportunity Construction Contract Specifications
Attachment 7:	Executive Order No. 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low- Income Populations
Attachment 8:	Non-Discrimination in Employment (Instructions to Bidders) /Recommended Statement in Advertisement for Bids, Debarment and Suspensions
Attachment 9:	CWSRF Loan Project Front-End Specifications
Attachment 10:	Equal Employment Opportunity Poster for Job Sites

Attachment 1
Iowa Department of Natural Resources
State Revolving Fund Program

(This form must be submitted with the bid.)

U.S. Environmental Protection Agency
CERTIFICATION OF NON-SEGREGATED FACILITIES

(Applicable to contracts, subcontracts, and agreements with applicants who are themselves performing Federally assisted construction contracts, exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause.)

By the submission of this bid, the bidder, offeror, applicant, or subcontractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. He certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The bidder, offeror, applicant, or subcontractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. He further agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause; that he will retain such certifications in his files; and that he will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

**NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR
CERTIFICATIONS OF NON-SEGREGATED FACILITIES**

A Certification of Non-segregated Facilities, as required by the May 9, 1967, order (33 F.R. 7808, May 28, 1968) on Elimination of Segregated Facilities, by the Secretary of Labor, must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

Signature

Date

Name and Title of Signer (Please Type)

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

EPA-7 5720-4.2

Attachment 2
Iowa Department of Natural Resources
State Revolving Fund Program

(This form must be submitted with the bid.)

United States Environmental Protection Agency Washington, DC 20460

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated or cause or default.

I understand that a false statement on this certification may be ground for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Typed Name & Title of Authorized Representative

Signature of Authorized Representative

Date

☐ I am unable to certify to the above statements. My explanation is attached.

EPA Form 5700-49 (11-88)

Attachment 3
Iowa Department of Natural Resources
State Revolving Fund Program

(This form must be submitted with the bid.)

MBE/WBE/SBRA Solicitation

Bidders/offers must fully comply with the requirements of 40 CFR 35 and Section 129 of P.L. 100-590 to award a fair share of subagreements to minority (MBE), women's (WBE) and small rural area (SBRA) business enterprises. The requirements include:

- Taking affirmative steps for MBE/WBE/SBRA participation
- Documenting the efforts and the proposed utilization of MBE/WBE/SBRAs

PROJECT INFORMATION

SRF Applicant:	
Bidder:	
Address:	
Contact Person:	
Signature:	
Phone Number:	
E-Mail Address:	
Check if General Contractor is: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBRA	
Will subcontractors be sought under this contract? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please complete the rest of the form.</i>	

AFFIRMATIVE STEPS CHECKLIST

Please complete the checklist to determine if you have complied with the requirement to take affirmative steps. Bidders/offers must take affirmative steps prior to submission of bids/proposals.

1. When feasible, did you segment total work requirements to permit maximum MBE/WBE/SRBA participation? ☐ Yes ☐ No
2. Where feasible, did you establish delivery schedules that would encourage participation by MBE/WBE/SRBAs? ☐ Yes ☐ No
3. Do you assure that MBEs, WBEs, and SRBAs are solicited whenever they are potential sources of goods and services? ☐ Yes ☐ No
4. Did you send letters or make other personal contacts at the time that other potential subcontractors were contacted, providing specific description of the work to be subcontracted, how and where to obtain a copy of the plans and specifications, date quotation is due, and contact information? ☐ Yes ☐ No

5. List the potential MBE/WBE/SBBA subcontractors that were contacted:

Name	How Contacted (e.g. letter, phone call, fax, e-mail)	Response (e.g. did not respond, not interested, not competitive)

Note: A list of qualifying businesses is available at www.state.ia.us/government/dia/page4.html. Another construction-related Disadvantage Business Directory is at www.ia.bidx.com/lettings.

PROPOSED UTILIZATION OF MBE/WBE/SBRA SUBCONTRACTORS

Please list the qualifying businesses the bidder proposes to utilize.

1. ☐ MBE Subcontractor: _____
 ☐ WBE Address: _____
 ☐ SBRA Contact: _____
 Telephone: _____
 Amount of Subcontract: _____
 Scope of Work: _____

2. ☐ MBE Subcontractor: _____
 ☐ WBE Address: _____
 ☐ SBRA Contact: _____
 Telephone: _____
 Amount of Subcontract: _____
 Scope of Work: _____

3. ☐ MBE Subcontractor: _____
 ☐ WBE Address: _____
 ☐ SBRA Contact: _____
 Telephone: _____
 Amount of Subcontract: _____
 Scope of Work: _____

Attachment 4
Civil Rights Contract Provisions

- A. The Contractor, prior to award of a contract, shall submit certification acceptable to the Owner that he and all Subcontractors are in compliance with these requirements.
- B. The Contractor must comply with the following laws and regulations:
 - 1. Title VI of the Civil Rights Act of 1964 (P.L. 88-352).
 - a. Under Title VI of the Civil Rights Act of 1964 (P.L. 88-352), no person shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. (Further requirements are specified in 24 CFR Part 1.)
 - 2. Iowa Civil Rights Act of 1965 (Iowa Executive Orders 15 and 34).
 - 3. Section 109 of Title I of the Housing and Community Development Act of 1974, as amended (42 U.S.C. 5309).
 - 4. The Age Discrimination Act of 1975, as amended (42 U.S.C. 1601 et seq.).
 - a. The Contractor agrees that no person shall be excluded from participation, denied program benefits or subjected to discrimination on the basis of age under any program activity receiving federal funds.
 - 5. Section 504 of the Rehabilitation Act of 1973, as amended (P.L. 93-112, 29 U.S.C. 794).
 - 6. Americans with Disabilities Act (P.L. 101-336, 42 U.S.C. 12101-12213).
 - 7. Section 3 of the Housing and Urban Development Act of 1968, as amended (112 U.S.C. 1701u).
 - 8. Title VIII of the Civil Rights Act of 1968, as amended.
 - 9. Federal Executive Order 11063, as amended by Executive Order 12259.
 - 10. Federal Executive Order 11246, as amended.

March 30, 2004

Attachment 5

Iowa Department of Natural Resources

Wastewater Construction Section

CODE OF IOWA REQUIREMENTS IN FRONT-END SPECIFICATIONS

Bid Advertising Time: Bid advertising time for SRF project must comply with the applicable sections of the Code of Iowa, 362.3 and 384.96. Notice to bidders must be published not less than 4 nor more than 45 days before the bid filing date. Publication must be in a newspaper published at least once weekly and having general circulation within the city. If the city has a population 200 or less, publication may be made by posting in three public places in the city, which have been permanently designated by ordinance. Each project should be reviewed by the city and the city's consultant and an appropriate length of time for bid advertising agreed upon. While not required, the Department recommends a minimum of 30 days.

Award of Contract: The specifications must fully explain the basis for determining the low bidder and include a statement that the contract(s) will be awarded to the lowest responsive, responsible bidder" (Code of Iowa 384.99). The Code of Iowa further states that "contracts relating to public utilities...may be awarded by the governing body as it deems to be in the best interest of that city". However, in practice, the standard of proof required in court cases to show "the best interest of that city" has been so extensive and complex that ordinarily it would not be reasonable to award a contract to other than the lowest responsible bidder.

Bid Bond: Each bidder must be required to furnish, along with their bids, a bid guarantee subject to Code of Iowa 384.98.

CODE OF IOWA 384.98. The amount of bid security must be fixed by the governing body prior to ordering publication of the notice to bidders and must equal at least five percent, but may not exceed ten percent of either the estimated total contract cost of the public improvement, or the amount of each bid.

Performance Bond: Prior to award of contract, the contractor is required to provide a performance bond subject to the appropriate requirements in Code of Iowa 573.2 through 573.5. The specifications must include a provision, which requires this bond. This bond is mandatory and "shall not be limited or avoided by contract" (573.3). The bond amount is set by the city and "shall not be less than 75% of the contract price" (573.5).

Definite Completion Time: The specifications should clearly state the maximum calendar or work days allowed for completion of the project. Construction scheduling and timely project completion are significant for three reasons:

1. Construction and initial operations schedules fixed by Administrative Order must be observed and are specifically required by SRF loan agreements.
2. Principal repayment begins one year after project completion. Project completion "means the date operations of the project are initiated or are capable of being initiated, whichever is earlier" (IAC 567-92.3(455B)). The projected date of initiation of operations set by the city and the IDNR in the loan agreement is the project completion date. This date cannot be set forward, only back; ie. regardless of the actual date of completion of construction and initiation of operations, at the latest, loan repayment begins one year after the projected date in the loan agreement.
3. All of the SRF funds in the loan agreement must be disbursed to the city within three years of the state bond sale.

March 30, 2004

Attachment 6

Standard Federal Equal Employment Opportunity Construction Contract Specifications (Executive Order 11246)

1. As used in these specifications:
 - a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;
 - b. "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority;
 - c. "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
 - d. "Minority" includes:
 - (i) Black (all persons having origin in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Sub-continent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).
2. Whenever the Contractor, or any Subcontractor at any tier subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.
3. If the Contractor is participating (pursuant to 41 CFR 6-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in an approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.
4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7a through p of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority and female utilization the Contractor should reasonably be able to achieve in each construction trade in which it has employee in the covered area. Covered construction contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical area where the work is being performed. Goals are published periodically in the Federal Register in notice form, and such notices may be obtained from any Office of Federal Contract Compliance Programs office or from Federal procurement contracting officers. The Contractor is expected to make substantially uniform progress in meeting its goals in each craft during the period specified.

5. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications, Executive Order 11246, or the regulations promulgated pursuant thereto.
6. In order for the nonworking training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.
7. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:
 - a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the Contractor employees are assigned to work. The Contractor, where possible will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
 - b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available and maintain a record of the organizations' responses.
 - c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore, along with whatever additional actions the Contractor may have taken.
 - d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's effort, to meet its obligations.
 - e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the source complied under 7b above.
 - f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.
 - g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with onsite

supervisory personnel such as Superintendents, General Foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.

h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.

i. Direct its recruitment efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations such as the above, describing the openings, screening procedures, and test to be used in the selection process.

j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on the site and in other areas of a Contractor's workforce.

k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.

l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.

m. Ensure that seniority practices, job classifications work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.

n. Ensure that all facilities and company activities are nonsegregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.

o. Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.

p. Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.

8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7a through p). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7a through p of these Specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.

9. A single goal for minorities and a separate single goal for women have been established. The Contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed

in a substantially disparate manner (for example, even though the Contractor has achieved its goals for women generally, the Contractor may be in violation of the Executive Order if a specific minority group of women is underutilized).

10. The Contractor shall not use the goals and timetable or affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.

11. The Contractor shall not enter into any Subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.

12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.

13. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps at least as extensive as those standards prescribed in paragraph 7 of these specifications so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.

14. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

15. Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

Federal Register, Vol. 43, No. 68 - Friday, April 7, 1978 (Corrected May 5, 1978). Effective Date: May 8, 1978
Federal Register, Vol. 45, No. 194. Paragraph 4, revised October 3, 1980
Effective Date: September 30, 1980

APPENDICES A and B-80

Notice of Requirement for Affirmative Action To Ensure Equal Employment Opportunity (Executive Order 11246)

1. The Offeror's or Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Specifications" set forth herein.
2. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

(See Appendix B-80 and Appendix A Below)

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and non-federally involved construction.

The Contractor's compliance with the Executive Order and in the regulations in 41 CFR Part 60—4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR 60—4.3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order and the regulations in 41 CFR Part 60—4. Compliance with the goals will be measured against the total work hours performed.

3. The Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the subcontractor, employer Identification number of the subcontractor, estimated dollar amount of the subcontract, and the geographical area in which the subcontract is to be performed.
4. As used in this Notice, and in the contract resulting from this solicitation, the "covered area" is (State of Iowa).

APPENDIX A

The following goals and timetables for female utilization shall be included in all Federal and federally assisted construction contracts and subcontracts in excess of \$10,000. The goals are applicable to the contractor's aggregate on-site construction workforce whether or not part of that workforce is performing work on a Federal or federally assisted construction contract or subcontract.

Area covered: Goals for Women apply nationwide.

Timetable Goals (percent)

From Apr. 1, 1978 until March 31, 19793.1
From Apr. 1, 1979 until March 31, 19805.0
From Apr. 1, 1980 until March 31, 19816.9

Published, Federal Register May 5, 1978

APPENDIX B-80

Until further notice, the following goals for minority utilization in each construction craft and trade shall be included in all Federal or federally assisted construction contracts and subcontracts in excess of \$10,000 to be performed in the respective geographical areas. The goals are applicable to each nonexempt contractor's total onsite construction workforce, regardless of whether or not part of that workforce is performing work in a Federal, federally assisted or nonfederally related project, contract or subcontract. Construction contractors which are participating in an approved Hometown Plan (see 41 CFR 60—4.5) are required to comply with the goals of the Hometown Plan with regard to construction work they perform in the area covered by the Hometown Plan. With regard to all their other covered construction work, such contractors are required to comply with the applicable SMSA of EA goal contained in this appendix B-80.

Economic Areas

State: Iowa	Goal %
096 Dubuque IA:	
SMSA Counties:	
2200 Dubuque, IA	0.6
IA Dubuque	
Non-SMSA	
Counties	0.5
IA Allamakee, IA Clayton, IA Delaware, IA, Jackson IA, Winneshiek	
099 Davenport Rock Island Moline, IA-IL:	
SMSA Counties:	
1960 Davenport Rock Island Moline, IA-IL	4.6
IL Henry, IL Rock Island Moline, IA Scott	
Non-SMA	
Counties	3.4
IL Carroll, IL Hancock, IL Henderson, IL ,Mercer, IL Whiteside, IA Clinton, IA Des Moines, IA Henry, IA Lee, IA Louisa, IA, Muscatine, MO Clark	
100 Cedar Rapids, IA:	
SMSA Counties:	
1360 Cedar Rapids, IA	1.7
IA Linn	
Non-SMSA Counties	1.5
IA Benton, IA Cedar, IA Iowa, IA Johnson, IA, Jones, IA, Washington	
101 Waterloo, IA:	
SMSA Counties:	
8920 Waterloo-Cedar Falls, IA	4.7
IA Black Hawk	
Non-SMSA Counties	2.0
IA Bremer, IA Buchanan, IA Butler, IA Cerro Gordo, IA Chickasaw, IA Fayette, IA Floyd, IA Franklin, IA Grundy, IA Hancock, IA Hardin, IA Howard, IA Mitchell, IA Winnebago, IA Worth	

Attachment 7
Executive Order No. 12898 Federal Actions to Address Environmental Justice in Minority
Populations and Low-Income Populations

The Civil Rights Act of 1964, Federal Water Pollution Control Act Amendments of 1972, Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and Executive Order No. 12898 prohibit discrimination in the provision of services or benefits, on the basis of race, color, national origin, sex, handicap or age, in programs or activities receiving federal financial assistance. If, for example, a municipality received EPA assistance to build a wastewater treatment plant, it may not decline to provide service from the plant to a particular neighborhood because of its racial composition. As the preface to this section noted, the Civil Rights Act, the Rehabilitation Act, and the Age Discrimination Act were amended in 1988 to clarify that their anti-discrimination provisions apply to the entire operations of an assistance recipient, not just to the specific program, project, or activity that is the objective of the assistance. The reach of these statutes and section 13 of the CWA, which contains language instructing EPA to treat its sex discrimination provisions in a manner similar to the Civil Rights Act, extends beyond that of other cross-cutting authorities.

The seminal anti-discrimination law is the 1964 Civil Rights Act. Its prohibitions have served as a model for all subsequent laws barring various forms of discrimination in federally assisted programs or activities, as the following excerpts from those laws demonstrate:

- No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. (42 U.S.C. §2000d (1988))
- No person in the United States shall, on the ground of sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal assistance under ... the federal Water Pollution Control Act... (Pub. L. No. 92-500 §13, 86 Stat 816 (1972))
- No otherwise qualified individual with a disability in the United States ... shall, solely by reason of his or her disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance...(29 U.S.C. §794(a) (1998))
- No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. (42 U.S.C. §6102 (1994))

In 1994, President Clinton signed Executive Order No. 12898 to promote nondiscrimination in federal programs significantly affecting human health or the environment and to provide minority and low-income communities with access to information and the opportunity to participate in matters affecting human health and the environment. The Order requires each federal agency to ensure those programs or activities receiving federal financial assistance that affect human health or the environment do not discriminate on the basis of race, color, or national origin. In addition, for any federal action requiring a NEPA analysis, each federal agency must consider the environmental, economic, and social effects on minority and low-income communities. EPA issued an environmental justice strategy on April 3, 1995. (EPA/200-R-95-002).

March 30, 2004

102 Fort Dodge, IA:

Non-SMSA Counties 0.4

IA Buena Vista, IA Calhoun, IA Carroll, IA Clay, IA Dickinson, IA Emmet, IA Greene, IA Hamilton, IA Humboldt, IA Kossuth, IA Palo Alto, IA Pocahontas, IA Sac, IA Webster, IA Wright

103 Sioux City, IA:

SMSA Counties:

7720 Sioux City, IA-NE 1.9

IA Woodbury, NE Dakota

Non-SMSA Counties 1.2

IA Cherokee, IA Crawford, IA Ida, IA Monona, IA O'Brien, IA Plymouth, IA Sioux, NE Antelope, NE Cedar, NE Cuming, NE Dixon, NE Knox, NE Madison, NE Pierce, NE Stanton, NE Thurston, NE Wayne, SD Bon Homme, SD Clay, SD Union, SD Yankton

104 Des Moines, IA:

SMSA Counties:

2120 Des Moines, IA 4.5

IA Polk, IA Warren

Non SMSA Counties: 2.4

IA Adair, IA Appanoose, IA Boone, IA Clarke, IA Dallas, IA Davis, IA Decatur, IA Guthrie, IA Jasper, IA Jefferson, IA Keokuk, IA Lucas, IA Madison, IA Mahaska, IA Marion, IA Marshall, IA Monroe, IA Poweshiek, IA Ringgold, IA Story, IA Tama, IA Union, IA Van Buren, IA Wapello, IA Wayne

143 Omaha, NE:

SMSA Counties:

5920 Omaha, NE-IA 7.6

IA Pottawattamie, NE Douglas, NE Sarpy

Non-SMSA Counties 5.3

IA Adams, IA Audubon, IA Cass, IA Fremont, IA Harrison, IA Mills, IA Montgomery, IA Page, IA Shelby, IA Taylor, NE Burt, NE Cass, NE Colfax, NE Dodge, NE Platte, NE Saunders, NE Washington

Published, Federal Register October 3, 1980

Attachment 8
NONDISCRIMINATION IN EMPLOYMENT
(INSTRUCTIONS TO BIDDERS)

By the submission of its bid, each bidder acknowledges that he understands and agrees to be bound by the equal opportunity requirements of EPA regulations (40 CFR Part B, particularly Section 8.4(b)), which shall be applicable throughout the performance of work under any contract awarded pursuant to this solicitation. Each bidder agrees that if awarded a contract, it will similarly bind contractually each subcontractor. In implementation of the foregoing policies, each bidder further understands and agrees that if awarded a contract, it must engage in affirmative action directed at promoting and ensuring equal employment opportunity in the workforce used under the contract (and that it must require contractually the same effort of all subcontractors whose subcontracts exceed \$10,000). The bidder understands and agrees that "affirmative action" as used herein shall constitute a good faith effort to achieve and maintain that amount of minority employment in the on-site workforce used on the project which corresponds, for each trade used, to the minority population in the serving labor market area from which workers are reasonably available for hire for the project.

RECOMMENDED STATEMENT IN ADVERTISEMENT FOR BIDS
DEBARMENTS AND SUSPENSIONS

Any bidder or equipment supplier whose firm or affiliate is listed in the GSA publication "List of Parties Excluded from Federal Procurement and Non-procurement Programs" will be prohibited from the bidding process. Anyone submitting a bid who is listed in this publication will be determined to be a non-responsive bidder in accordance with 40 CFR Part 31.

A contractor's Suspension/Debarment Certification will be contained in the specifications (see attachment 2); however, this certification should not preclude any interested party from ascertaining whether the certifying person is actually on the "List of Parties Excluded from Federal Procurement and Nonprocurement Programs."

March 30, 2004

Attachment 9
Iowa Department of Natural Resources
Wastewater Construction Section
CWSRF LOAN PROJECT FRONT-END SPECIFICATIONS

State Inspection and Right of Entry: Iowa Administrative Code 567-92.9(2)f provides for site visits by Department personnel to examine all construction aspects of the project. Personnel of the Iowa Department of Natural Resources shall have the right to examine all construction aspects of the project, including materials and equipment delivered and stored on site for use on the project.

Historical and Archeological: A paragraph approximately as follows must be included in the specifications:

If, during the course of construction, evidence of deposits of historical or archeological interest is found, the contractor shall cease operations affecting the find and shall notify the owner who shall notify the Director of Historic Preservation Office, State Historical Department, East 12th and Grand, Des Moines, Iowa 50319. No further disturbance of the deposits shall ensue until the contractor has been notified by the owner that he may proceed. The owner will issue a notice to proceed only after the state official has surveyed the find and made a determination to the Department of Natural Resources and the owner. Compensation to the contractor, if any, for lost time or changes in construction to avoid the find, shall be determined in accordance with changed conditions or change order provisions of the specifications.

Authority for this derives from the National Historic Preservation Act and 36 CFR Part 800.11. If human remains are discovered then state law also applies.

This paragraph is not required if the project is for sewer systems rehabilitation or modifications to an existing facility, which will not involve new excavation.

Special Design Conditions: 40 CFR Part 7 published January 12, 1984, requires recipients receiving federal assistance to operate activities so that the activity, when viewed in its entirety, is readily accessible to and usable by handicapped persons. Within the guidelines provided by Part 7, accessibility for handicapped persons must be considered in the design and construction of new facilities. To the degree that reasonable accommodation is called for, considering the nature of the facility, design and construction shall conform to the 1980 "American National Standard Specifications for Making Buildings and Facilities Accessible to and Usable by the Physically Handicapped", published by the National Standards Institute, Inc.

In accordance with the preamble and Subpart C of Part 7, exemption from accessibility for the handicapped can only be allowed in cases where a facility or portion thereof is not visited by the public; and where, because of the nature of the facility and the job requirements, it isn't likely persons with particular handicaps would meet the physical requirements for jobs even with reasonable accommodations (e.g. for safety reasons). Exemption determinations should be made in consultation with appropriate organizations, etc. as discussed in the preamble. Requirements for accessibility do not require loan recipients to take any action the recipient can demonstrate would result in undue hardship.

Violating Facilities List: The specifications and contract documents must contain a statement requiring compliance of all parties to the contract with 40 CFR 31.36(i)(12) which prohibits the contractor from procuring materials or equipment from facilities on the EPA List of Violating Facilities. The most current List of Violating Facilities can be found in the monthly General Services Administration publication entitled "Lists of Parties Excluded from Federal Procurement or Non-procurement Programs".

This requirement arises from Section 306 of the Clean Air Act and Section 508 of the Clean Water Act. These two sections of the two different Acts are very similar. Section 306 requires that persons and facilities owned or operated by persons convicted for violations of Section 113(c)(2) of the Clean Air Act are prohibited from entering into Federal contracts and this extends to Federal Assistance by way of grants and loans. Section 113 (c)(2) violations concern falsification of records etc. and tampering with monitoring devices etc. required by persons and facilities owned or operated by persons convicted for violations of Section 309(c) of the Clean Water Act are prohibited from Federal Assistance. Section 309(c) violation of water pollution laws and provides criminal penalties for these violations.

The List of Violating Facilities is a listing of facilities owned or operated by persons convicted under these sections of the CAA and the CWA. CFR 40 Part 15 is a description of the list and explains procedures for placement of facilities on it. Under CFR 40 part 15, the List of Violating Facilities is to be published in the Federal Register on or about February 1 and August 1 of each year. However, the list was last published in the Federal Register on February 12, 1991. The monthly GSA publication, "Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs" provides the most recent List of Violating Facilities.

Access to and Retention of Records: *The contractor shall maintain all records documenting all costs associated with the project for a period of three (3) years from the date of the final payment to the contractor. All records shall be preserved and made available to the Iowa Department of Natural Resources, the State Auditor, and the USEPA Office of the Inspector General or their authorized representatives. The contractor must allow access to these records and the project site for inspection and audit purposes by the Department, the State Auditor, and the USEPA Office of the Inspector General or their authorized representatives for a period of three (3) years from the date of the final payment to the contractor.*

Clean Air Act: Compliance with all applicable standards, orders, and requirements of the following laws and regulations:

Section 306 of the Clean Air Acts (42 U.S.C. 1857(h)).
Section 508 of the Clean Water Act (33 U.S.C. 1368).
Executive Order 11738.
EPA Regulations - 40 CFR, Part 15.

Special Paragraph Included (Differing Site Conditions, etc.): *It is recommended that the specifications include special paragraphs which provide for differing site conditions and conflicts between different sections of the specifications.*

Equal Employment Opportunity is THE LAW

Employers Holding Federal Contracts or Subcontracts

Applicants to and employees of companies with a Federal government contract or subcontract are protected under the following Federal authorities:

RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN

Executive Order 11246, as amended, prohibits job discrimination on the basis of race, color, religion, sex or national origin, and requires affirmative action to ensure equality of opportunity in all aspects of employment.

INDIVIDUALS WITH DISABILITIES

Section 503 of the Rehabilitation Act of 1973, as amended, prohibits job discrimination because of disability and requires affirmative action to employ and advance in employment qualified individuals with disabilities who, with reasonable accommodation, can perform the essential functions of a job.

VIETNAM ERA, SPECIAL DISABLED, RECENTLY SEPARATED, AND OTHER PROTECTED VETERANS

38 U.S.C. 4212 of the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, prohibits job discrimination and requires affirmative action to employ and advance in employment qualified Vietnam era veterans, qualified special disabled veterans, recently separated veterans, and other protected veterans.

Any person who believes a contractor has violated its nondiscrimination or affirmative action obligations under the authorities above should contact immediately:

The Office of Federal Contract Compliance Programs (OFCCP), Employment Standards Administration, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210 or call (202) 693-0101, or an OFCCP regional or district office, listed in most telephone directories under U.S. Government, Department of Labor.

Private Employment, State and Local Governments, Educational Institutions

Applicants to and employees of most private employers, state and local governments, educational institutions, employment agencies and labor organizations are protected under the following Federal laws:

RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN

Title VII of the Civil Rights Act of 1964, as amended, prohibits discrimination in hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral, and other aspects of employment, on the basis of race, color, religion, sex or national origin.

DISABILITY

The Americans with Disabilities Act of 1990, as amended, protects qualified applicants and employees with disabilities from discrimination in hiring, promotion, discharge, pay, job training, fringe benefits, classification, referral, and other aspects of employment on the basis of disability. The law also requires that covered entities provide qualified applicants and employees with disabilities with reasonable accommodations that do not impose undue hardship.

AGE

The Age Discrimination in Employment Act of 1967, as amended, protects applicants and employees 40 years of age or older from discrimination on the basis of age in hiring, promotion, discharge, compensation, terms, conditions or privileges of employment.

SEX (WAGES)

In addition to sex discrimination prohibited by Title VII of the Civil Rights Act of 1964, as amended (see above), the Equal Pay Act of 1963, as amended, prohibits sex discrimination in payment of wages to women and men performing substantially equal work in the same establishment.

Retaliation against a person who files a charge of discrimination, participates in an investigation, or opposes an unlawful employment practice is prohibited by all of these Federal laws.

If you believe that you have been discriminated against under any of the above laws, you should contact immediately:

The U.S. Equal Employment Opportunity Commission (EEOC), 1801 L Street, N.W., Washington, D.C. 20507 or an EEOC field office by calling toll free (800) 669-4000. For individuals with hearing impairments, EEOC's toll free TDD number is (800) 669-6820.

Programs or Activities Receiving Federal Financial Assistance

RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX

In addition to the protection of Title VII of the Civil Rights Act of 1964, as amended, Title VI of the Civil Rights Act prohibits discrimination on the basis of race, color or national origin in programs or activities receiving Federal financial assistance. Employment discrimination is covered by Title VI if the primary objective of the financial assistance is provision of employment, or where employment discrimination causes or may cause discrimination in providing services under such programs. Title IX of the Education Amendments of 1972 prohibits employment discrimination on the basis of sex in educational programs or activities which receive Federal assistance.

INDIVIDUALS WITH DISABILITIES

Sections 501, 504 and 505 of the Rehabilitation Act of 1973, as amended, prohibits employment discrimination on the basis of disability in any program or activity which receives Federal financial assistance in the federal government. Discrimination is prohibited in all aspects of employment against persons with disabilities who, with reasonable accommodation, can perform the essential functions of a job.

If you believe you have been discriminated against in a program of any institution which receives Federal assistance, you should contact immediately the Federal agency providing such assistance.

Exhibit 13
Iowa Department of Natural Resources
Clean Water State Revolving Fund
Bid Document Checklist

When bids are received and the Owner accepts a bid proposal, the Consultant prepares and submits to DNR a packet of documents. Required documents are listed below. Please submit the completed checklist with the bid document packet. When all the information is complete, DNR issues to the Owner a letter of concurrence in award, which also explains the amount of bid that is eligible for CWSRF reimbursement.

Date:

From:

CWSRF Project No.

The following documents are enclosed for review and approval prior to contract award:

Engineering Documents

Please note: DNR no longer requires the submission of as-bid plans and specs. Project managers may request them as needed.

- ☐ Tabulation of bids
- ☐ Engineer's written recommendation of award
- ☐ Engineering Services Agreement

Contractor Documents

- ☐ Successful bid and/or proposal loan recipient chooses to accept
- ☐ Any addenda not previously submitted and bidder acknowledgment of all addenda
- ☐ Attachment 1: Certification of Nonsegregated Facilities
- ☐ Attachment 2: Suspension and Debarment Certification
- ☐ Attachment 3: MBE/WBE/SBRA Solicitation
- ☐ Contract (if available)
- ☐ Bonds (if available)
- ☐ Notice to Proceed (if available)

***For more information, please contact Eunice Boyd at 515-725-0327 or
Eunice.boyd@dnr.iowa.gov.***